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AUTHOR Balmer, Mary; And Others
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ABSTRACT

The Wilbur Cross Library of the University of Connecticut has conducted a Management Review and Analysis Program (MRAP) study as outlined by the Association of Research Libraries. The MRAP report contains introductory chapters on the history and present circumstances of the University of Connecticut and its library. There follow reports and analyses of library planning, policies, budgeting, information management, organization, supervision, personnel development and administration, meetings and communications, as well as a report on branch, departmental, and professional school libraries. Some items which the report recommends are: written goals and objectives, with provision for evaluation of progress; a policy committee; creation of an Administrative Assistant for Personnel Services position; a staff development program; evaluation of staffing needs; a student employee handbook; updating of organization charts; definition of staff roles and responsibilities; and establishment of a formal communication system. Appendixes include employee and student enrollment information, organization charts, university finance information, and a statement of library objectives and goals. (LS)

ED 092177

The University of Connecticut
University Libraries

Report of the
Management Review and Analysis Program
(MRAP)

Sponsored by
The Association of Research Libraries
Office of University Library Management Studies

and Conducted by
The University of Connecticut Library
MRAP Study Team

Mary Baker
Dorothy Boger
Doris Brown
Nancy Kline
Richard Schimmelpfeng
Norman Stevens, Chairperson

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Storrs, Connecticut
The University of Connecticut Libraries
1974

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"And although [we] may consider this work unworthy of your countenance, nevertheless [we] trust much to your benignity that it may be acceptable seeing that it is not possible for [us] to make a better gift than to offer you the opportunity of understanding in the shortest time all that [we] have learnt in so many [months], and with so many troubles and dangers; which work [we] have not embellished with swelling or magnificent words, nor stuffed with rounded periods, nor with any extrinsic allurements or adornments whatever, with which so many are accustomed to load and embellish their works; for [we] have wished either that no honor should be given it, or else that the truth of the matter and the weightiness of the theme shall make it acceptable."

Adapted from Machiavelli's dedication of The Prince

SUMMARY RECOMMENDATIONS

PLANNING AND POLICIES

I. Setting of objectives and goals¹

A. Overall Library objectives

1. By the end of September of each year, the top Library administration shall define in writing its proposed objectives for that fiscal year, as well as its long-term objectives if possible.
2. Each staff member throughout the University Libraries' system shall be provided with a copy of the objectives.

B. Department and unit objectives and goals

1. By the end of November of each year, each Department Head or Supervisor, with the coordination and assistance of the Administrative Assistants for Public Service and Technical Service in their respective areas, shall define short-term and long-term objectives and goals for the department or unit. This process shall be carried on with the full participation of staff members in the department or unit. The person charged with coordinating the branch, department, and professional school libraries shall carry on the same procedure with those libraries.
2. The Department Head or Supervisor, together with the appropriate Administrative Assistant, shall ensure that these objectives and goals are in accord with the overall Library objectives.
3. Each goal shall have a target date for review, means of implementation, measurement criteria for evaluation results, and time-period for evaluation.

II. Discussion and implementation

A. Overall Library objectives

1. By the end of September of each year, the top Library administration shall use its statement of proposed objectives and the Library's "Statement of Mission" and

¹ Objectives: Statements of long-range, broad intent which represent the component means to achieve the mission.

Goals (or performance goals): The breakdown of objectives into shorter-range, more specific, frequently quantifiable, desired achievements. These are usually related to specific library units or functions.

Mission: The basic purpose of the organization; the primary reason for its existence.

Objectives" as the basis for discussion during at least one general staff meeting.

2. Provision shall be made for considering changes in the proposed objectives based on information provided by or opinions expressed by staff at all levels.

B. Department and unit objectives and goals

1. By the end of November of each year, after the department and unit objectives and goals have been set, each department and unit shall meet with the top Library administration to discuss these plans, as well as to communicate specific needs and problems.
2. Throughout the fiscal year, each department and unit shall evaluate its progress toward accomplishing goals, according to the appropriate measurement criteria and time-period.

III. Evaluation and reporting of progress toward meeting objectives and goals

A. Department and unit objectives and goals

1. The Library administration, in conjunction with the Department Heads and Supervisors, shall develop guidelines for the format and content of annual reports which will include information required for planning and control purposes as well as the customary statistical information.
2. By the end of July of each year, following full discussion with department or unit staff members, the Department Head or Supervisor shall incorporate into the annual report the review and evaluation of department or unit objectives and goals.
3. Any staff member within the department or unit who so desires should append written material to the annual report concerning needs, trends, and directions in special areas on the department or unit level.
4. The Library administration shall discuss each annual report submitted with the Department Head or Supervisor concerned.

B. Overall Library objectives

1. By the end of July of each year, the top Library administration shall communicate in writing to all staff members the request for written statements about significant events, special needs, or environmental changes affecting the Library as a whole during the coming year. Such statements shall be promptly discussed by the Library adminis-

tration with its author and with other staff whom it might affect.

2. By the end of August of each year, following the submission of annual reports by the Department Heads and Supervisors, the top Library administration shall prepare an abstract to be distributed to all staff which reviews and evaluates progress toward accomplishing overall objectives.

IV. The top Library administration shall, by the end of May 1974, establish a Library Policy Committee which shall serve in an advisory capacity on policy matters.

- A. With the assistance of Library staff at all levels, including the MRAP Task Force on Policies, the purpose of the Committee shall be to:
 1. Set up guidelines for the codification of existing written and unwritten policies as well as for the establishment, coordination, communication, implementation, review, and up-dating of needed policies;
 2. Coordinate the compilation of all existing written and unwritten policies within the Library and within the University which affect the Library;
 3. Advise and assist the Library administration and the Department Heads and Supervisors in the actual writing of policies or in other policy matters;
 4. Identify areas in which policies are needed;
 5. Determine that guidelines for policy formulation allow for Library staff awareness and input into Library and University policy formulation;
 6. See that an appropriate administrative officer clearly assigns responsibility for interpreting and implementing policy and ensuring that established policies are actually being implemented by those responsible for doing so.
- B. Priority shall be given to personnel policies and to the establishment of a formal written collection development policy.
 1. The Policy Committee shall work closely with the Administrative Assistant for Personnel Services in regard to personnel policies. (Also refer to the summary recommendations on Personnel).
 2. The Policy Committee shall establish a subcommittee, in consultation with the University Librarian, to gather the necessary information about collection development

and to draft a preliminary policy. This draft shall be completed within six months of the subcommittee's appointment.

- C. The Committee shall prepare a preliminary report to be distributed to all staff which outlines the types of existing policies as well as the guidelines and areas in which policies are needed. This report shall be used as the basis for discussion during at least one general staff meeting before the Committee makes its final report.
 - D. The Committee shall complete this work by the end of May 1975.
- V. Annually, by the end of June, the top Library administration shall review the composition of the Library Policy Committee.
- VI. The Library Policy Committee shall act on a continuing basis in the following ways:
- A. Review and evaluate annually with the Library administration, the Department Heads and Supervisors, and the general staff the guidelines for policy establishment, coordination, communication, implementation, review, and up-dating;
 - B. See that existing policies are evaluated annually to determine whether changes may be needed.

PERSONNEL

- I. The position of Administrative Assistant for Personnel Services shall be established by the top Administration by September, 1974, and filled as soon thereafter as possible, to ensure development of stronger and more effective personnel policies, programs, and practices.
- A. A written statement covering the role and authority of this position shall be developed by the top Administration, and subsequently reviewed by the Search Committee, prior to the establishment of the position. That statement should incorporate the following responsibilities.
 - 1. Consistently collect, maintain, and evaluate information about the experience, professional growth and development, activities, accomplishments, and interests as they apply to library work, of each individual staff member. As a preliminary step, Library staff members should forward this information to their Department Heads/Supervisors.

2. Provide centralized control in the Library over job recruitment policies and procedures.
3. With regard to staff development:
 - a. Recommend policies, activities, opportunities, and incentives which will lead to the establishment of a planned, comprehensive staff development program whose objectives are clearly stated and coordinated with Library objectives.
 - b. Coordinate staff development activities with projected personnel needs.
 - c. Establish procedures by which staff members at all levels can become involved in planning, operating, and evaluating staff development activities and opportunities.
 - d. Establish procedures by which staff members are able to analyze their career and employment plans.
 - e. Make available to all staff members, at least on an annual basis, descriptions of existing staff development activities and opportunities, and to assist them in taking advantage of those activities and opportunities.
4. Establish mandatory management training programs for new and incumbent staff in supervisory positions. These programs shall include information on the Library's policies, procedures, and formats of report writing.
5. Establish mandatory Library orientation programs for all new staff members.
6. Provide for expanded and consistent utilization of motivational devices, including the following:
 - a. Work with the Library Policy Committee in forums open to all interested Library staff to make recommendations to the top Library Administration concerning the use of annual and merit increments for professional/preprofessional staff.
 - b. In conjunction with the Library administration, the University Personnel Services Division, and the State Personnel Department, resolve the inconsistencies in the application of written laws and regulations which govern salary increments and promotions for classified staff.
 - c. Investigate the use of other motivational devices for all Library staff, including promotions and staff suggestions for improvements within the Library.

7. Coordinate a responsible, formal, annual, written evaluation for all Library personnel which shall allow for input from a variety of representative sources. Individual leadership accomplishments and other abilities shall be evaluated for all staff at this time. Evaluation shall be discussed with the individual concerned before the evaluation is made final. This evaluation shall be used as the basis for salary increments and promotions or termination of employment.
8. Evaluate on a continuing basis the use of available staff skills and determine better utilization of such skills within the Library through transfers, staff sharing, and modification of job assignments.

- B. Previous training and experience in both personnel and relevant library work are essential qualifications.
- C. Recommendations for selection shall be made by a Search Committee, appointed by the top Administration and representative of all Library staff.
- D. The Administrative Assistant for Personnel Services should be a member of the Library Policy Committee.

II. Upon its appointment, the Library Policy Committee shall give precedence to personnel policies by:

- A. Identifying existing and needed Library personnel policies.
- B. Acting to insure that clear personnel policies are established to deal comprehensively with all major areas of library personnel.
- C. Determining that guidelines for policy formulation allow for Library staff awareness and input into Library and University personnel policy formulation.
- D. Referring to the Personnel Task Force Report's list of specific areas which are of immediate concern.

III. A Staff Development Committee shall be established to start work on the areas mentioned in recommendation I.A.3. above and to work with and advise the Administrative Assistant for Personnel Services once that position is filled.

IV. The top Library Administration shall prepare annually a written list of staffing needs and priorities for the following year which shall include a statement as to steps that are to be taken to help meet those needs.

Copies of that list should then be made available to all staff. The first such list should be prepared by the end of April, 1974.

- V. The Student Advisory Committee should prepare a handbook covering the Library's policies, rules and regulations regarding its student employees. Information regarding current student employment practices should be collected from all Library personnel who employ students. Inconsistent policies shall be replaced with those which can be uniformly implemented. The Student Advisory Committee shall exercise its authority in settling grievances. Methods of evaluating a student employee's work should be developed by the Committee in coordination with the Student Aid Office. Job descriptions shall be collected centrally. The Student Advisory Committee should continue to work as a group under the Administrative Assistant for Personnel Services when that position is filled.

ORGANIZATION

- I. The present Library organizational structure and the roles and responsibilities of the staff shall be defined by the top Library Administration, after consultation with those concerned, before the end of 1974 by:
- A. Updating the Library organization chart and accompanying it with a narrative description. This shall include:
 - 1. A definition of the inter-relationships among departments, Public and Technical Services, and branch, departmental, and professional school libraries.
 - 2. An explanation of the decision-making process at each management level including any inter-action between participatory and hierarchical management.
 - B. Defining the roles and responsibilities of each level of the staff with special attention to:
 - 1. A detailed written description of the roles and responsibilities of the Administrative Assistants incorporating the continuing responsibilities suggested for them in the summary recommendations and elsewhere in the MRAP reports.
 - a. This shall include defining all the elements of the internal supportive services (e.g. mail delivery, storage, arrangements for meeting rooms, etc.) and assigning supervisory responsibility for them to an Administrative Assistant.

- b. Administrative Assistants shall be designated as liaisons with the Building Services Division of Physical Plant and Public Safety.

2. Written descriptions of the roles and responsibilities of the Department Heads and Supervisors, including any distinction between them based on the duties and responsibilities of the position.

- C. Providing written descriptions of the functions of committees and meetings and their role in the organizational structure.
- D. Providing written descriptions of the organizational relationships and administrative responsibilities between the Library and the librarians and deans, directors, and/or department heads of the branch and professional schools.
- E. Incorporate the above material into the Handbook for Wilbur Cross Library Staff.

II. The present organizational structure shall be studied and recommended changes implemented. The study shall include:

- A. An evaluation of the role of the Library Advisory Committee by the top Library Administration with those concerned before the end of August 1975.
- B. An examination of the Library's committee and meeting structure by the Organization Advisory Task Force before the end of August 1975.
- C. An examination of the relationship between the Library and the departmental, branch and professional school libraries.
- D. Coordination between the University's information services and the Library by the top Library Administration before the end of January 1975.

III. An annual review and evaluation of the organizational structure shall be initiated by the top Library Administration by the end of August 1975. This review shall be based on an annual updating of the Library organization chart and the accompanying description and shall involve discussion with Library staff at all levels.

IV. A study of alternative organizational patterns shall be conducted by the Organization Advisory Task Force.

COMMUNICATION AND INFORMATION

- I. The top Library administration in consultation with communications experts within the University, shall establish a formal communications system, which will enhance knowledge of and response to present Library-related policies and procedures, by the end of August 1975.
- II. The Communications Advisory Committee shall work with the Administrative Assistant for Public Services to develop and describe the communication system within the Library and between the Library and the University community.
- III. The responsibility, authority, and coordination of this communications system shall be assigned to the Administrative Assistant for Public Services.
 - A. The lines and extent of this communications system shall be clearly described for all Library staff by the Administrative Assistant for Public Services.
 - B. Programs to foster effective relations between the Library and the University, the Library staff and the community, and the Library staff and the library profession at large shall be promulgated by means of the communications process.
 1. Existing University surveys of faculty and students shall be utilized to obtain information to evaluate the Library's collections, operations, programs, personnel, and services; in addition the Administrative Assistant for Public Services shall coordinate periodic and systematic surveys of faculty, student, and staff opinion concerning the Library's collection, programs, operation, and services. The results of such surveys shall be incorporated into the daily operation of the library and shall be included in deliberations of long-range planning.
 2. Information concerning the Library's collections, operations, programs, personnel and services shall be provided to the University and to the community on a regular basis through faculty and student newsletters, notice in local and campus newspapers, and Library publications.
 3. Information concerning the Library's collections, operations, programs, personnel, and services shall be distributed to the library profession through contributions to the library news media and Library staff partici-

tion in professional activities.

- IV. The top Library administration with the assistance of the Communications Advisory Committee shall develop a sophisticated process of information gathering, including information about library equipment expenditures, through the automated systems, and utilize that information for planning and control.
- V. Constructive working relationships among Library staff shall be promoted through implementation of standardized communication throughout the Library.
- A. Responsibility for specific aspects of communication shall be included in the stated duties of the Library Administration, Department Heads, and Supervisors.
 - B. The Library Administration and Department Heads and Supervisors shall work consciously to provide comprehensive information to Library staff at the initial planning and implementation stages of any project or change.
 - C. Ample opportunity shall be created for regular and formal input upward into supervisory and administrative levels from all Library staff, including student assistants, concerning the formation and administration of library policies and procedures. Such input shall be responded to by appropriate personnel.
 - D. The Handbook for Wilbur Cross Library Staff shall be revised annually by the Administrative Assistant for General Services and distributed to all staff.
 - E. Within the Library a clearinghouse and central record open to all shall be established for all policies and publications issued by or concerning the Library.

INTRODUCTION

BACKGROUND

For almost a year, the staff of the University of Connecticut Library has been involved in an intensive self-study under direction received from the Management Review and Analysis Program (MRAP) of the Association of Research Libraries' Office of University Library Management Studies. The objectives of the program were to identify and analyze Library management policy and practices and make recommendations for needed changes in those practices, to identify management problems requiring further investigation, and to develop Library staff awareness and understanding of current management needs and at the same time develop the staff's capability relating to management concepts and functions. The manual prepared by the Office of University Library Management Studies, the training sessions, and other consultation provided by Duane E. Webster, the Director, have been of invaluable assistance in establishing a framework for the study. This report, which is the outcome of that study, is, however, primarily the product of the energy and interest of the Library staff. While the MRAP Study Team provided the direction for this work, that effort would have been of little avail without the participation of virtually all members of the Library staff. This report, therefore, represents the views of the Library staff, based on a careful review and analysis of existing conditions and of steps to be taken to strengthen the organization and management of the Library.

ORGANIZATION OF THE REPORT:

In order to emphasize the orientation toward further action, we have placed first a section which summarizes in four broad areas the findings of the Task Forces and the Study Team. The second section consists of three chapters which present an historical and contemporary analysis of the University and the Library and provide a background for understanding the report and its recommendations. The third section consists of the reports of the various Task Forces which conducted the basic topical investigations of the Library's present operations. Those reports are presented as submitted by the Task Forces following their review with the Study Team. Although the Study Team has synthesized the recommendations, the individual reports and their recommendations must also be given careful consideration for they each contain information essential to those who will implement this report. Finally there are four appendices which present statistical information and charts to supplement the body of the report.

IMPLEMENTATION:

Simply to present this report to the Library administration and to the Library staff and to expect that action will then be taken in a coordinated manner is unrealistic. Just as the preparation and development of this report required direction and careful coordination, so will its implementation. In order to provide initial direction for implementation we have identified four major areas of concern: planning and policies; personnel; organization; and communication and information. To ensure that appropriate action is taken on the recommendations, and that such actions are carefully coordinated, we propose two additional levels of staff participation.

We recommend that the University Librarian appoint an Implementation Committee to ensure that the recommendations of this report be acted upon and that such action be reviewed periodically by the University Librarian, the Associate University Librarian, and the Library staff.

The Implementation Committee shall be composed of seven staff members, including at least one from each level of staff (classified, preprofessional, professional) and at least one from a branch, departmental, or professional school library. Six members of the Committee shall be selected by the Library staff as a whole through written ballot. A list of candidates shall be drawn up by the University Librarian who will take into consideration nominations made by the Study Team and the Library staff. The election shall be held no later than June 1, 1974 under procedures to be established by the University Librarian. In addition, one staff member shall be appointed by the University Librarian to serve as chairperson of the Implementation Committee. That person shall be given released time from regular duties for service in that capacity.

To continue staff involvement and to provide for realization of the recommendations by those charged with putting them into effect, we recommend that the following staff advisory groups be established in each of the four major areas of concern. In the area of policies, a Policy Committee shall be established; in the area of personnel, a Staff Development Committee shall be formed; in the areas of organization and communication, ad hoc advisory committees shall examine particular aspects of each area. Through the Implementation Committee, those staff members with responsibility for realizing specific recommendations shall keep the University Librarian, the Associate University Librarian, and the Library staff, informed about their activities and shall provide for further staff involvement.

The MRAP experience has provided an excellent opportunity for Library staff at all levels to learn more about the operation of the library, to achieve a broadened interest in the Library and to develop skills which will enable them to participate more effectively in its management and operation. While we view the recommendations of this report as important, we view as equally important continued staff participation. We therefore call upon all staff to assist in achieving the goals of the recommendations of this report so that the Library may become a stronger and more effective organization. To this end, we make the following charges:

University Librarian:

The Librarian shall demonstrate his continued interest in the management review and analysis process and his desire to realize the recommendations of this report by appointing an Implementation Committee. He shall bring this report to the attention of the University at large, especially to the President, and shall inform the appropriate University faculty or staff of those recommendations which include issues outside the direct control of the Library. He shall put into effect those recommendations directed to the Library Administration. If, for some reason, a recommendation is not to be put into effect, he shall indicate to the Library staff, through the Implementation Committee, the reasons that appropriate action has not or cannot be taken. He shall further the realization of the recommendations by aiding those Library staff members charged with the responsibility

for enactment of specific recommendations. He shall respond promptly to the Implementation Committee quarterly reports, and shall use them as a basis for further action.

Associate University Librarian:

The Associate University Librarian shall demonstrate his continued interest in the management review and analysis process and his desire to realize the recommendations of this report by working closely with the Implementation Committee and assisting them in their work. In conjunction with the University Librarian, he shall bring this report to the attention of the University at large and shall inform the appropriate University faculty or staff of those recommendations which include issues outside the direct control of the Library. He shall assist the University Librarian in putting into effect those recommendations directed to the Library Administration. If, for some reason, a recommendation is not to be put into effect, or is to be altered, he shall indicate to the Library staff, through the Implementation Committee, the reasons that appropriate action has not or cannot be taken. He shall ensure that action be taken on the recommendations by working closely with those Library staff members charged with the responsibility for enactment of specific recommendations.

Implementation Committee:

This Committee shall review action taken on the recommendations of this report and shall provide to all staff written reports on a quarterly basis concerning the progress made towards implementation. Following each report, the Implementation Committee shall meet with the staff to discuss the progress.

Administrative Assistants:

The Administrative Assistants shall realize those specific recommendations charged to them. Within their areas of concern they shall coordinate and assist the departments and units to fulfil appropriate recommendations.

Department Heads and Supervisors:

The Department Heads and Supervisors, in consultation with the staff of their departments and units, shall be responsible for those specific recommendations directed to their departments or units.

Library Staff:

All Library staff shall demonstrate their interest in providing more effective library service and in improving the Library's work environment by continuing to participate in the review and analysis of the Library's operations and in the implementation of overall recommendations, as well as of specific recommendations directed to the department or unit.

All Library staff, regardless of factors such as position or seniority, shall immediately recognize and accept their individual and collective responsibilities for exerting leadership within the Library. Participatory management is impossible to achieve without interested, involved staff, capable of initiating and carrying through plans until desired ends are achieved.

CHAPTER I

THE UNIVERSITY OF CONNECTICUT

"The University of Connecticut shall remain an institution for the education of youth whose parents are citizens of this state. The leading object of said university shall be, without excluding scientific and classical studies, and including military tactics, to teach such branches of learning as are related to agriculture and the mechanic arts, in such manner as the general assembly prescribes, in order to promote the liberal and practical education of the industrial classes . . ."¹

In response to the activity of the Commission for Higher Education in developing a master plan for higher education in the State of Connecticut, the following statement of the University's objectives was adopted by the University Senate. While not officially adopted by the University administration or the Board of Trustees, it is the best current statement available.

"The University of Connecticut should aspire to offer education of a quality equal to that provided by any public institution in the nation. The attainment and preservation of the highest academic standards is its constitutional mandate, and its paramount goal must be to offer all qualified Connecticut youth membership in a community of scholars of first rank.

The University is charged by statute with 'exclusive responsibility for programs leading to doctoral degrees and post-baccalaureate professional degrees.' It must also provide undergraduate, pre-professional, first professional, and Master's degree work consistent with its particular responsibility for advanced graduate study. Its students must have access to the liberal education which is fundamental to the humane values of civilized life and must be able to obtain the professional training they desire in such areas as Agriculture, Allied Health Professions, Business, Education, Engineering, Fine Arts, Home Economics, Nursing, Pharmacy and the Sciences, as well as Law, Medicine, Dentistry, and Social Work.

The University must continue to engage in the search for new knowledge if it is to offer the quality of education and service expected of it by the citizens of the state. A faculty

¹ Connecticut General Statutes, Section 10-117.

actively involved in research inspires its students to be critical, creative, and responsive to the needs of our society. Only a staff possessed of the latest and best knowledge can contribute most effectively to the solution of society's problems.

The University must serve all the people of the State by making its teaching and research available to them through various service activities, such as its extension service, its research institutes, and its programs for continuing education. Not only must it continue those services which experience has proven to be valuable to the State, but it should also provide new services made necessary by changing patterns in our society."²

HISTORY

The University of Connecticut was founded in 1881 as the Storrs Agricultural School to provide agricultural education for young farmers. The bestowal of land grant funds to the school in 1893 by the Connecticut General Assembly strengthened the role of the school. In 1899 the name of the school was changed to the Connecticut Agricultural College.

Although the faculty noted the need for liberal arts courses as early as 1906, the shift from the original aim of teaching practical and scientific agriculture and horticulture actually began in 1920 with the formation of the Storrs Pilgrimage, an intensive study of the school by almost one hundred citizens. Their final report recommended the addition of new courses to the curriculum stating that the changing times necessitated a more liberal education in order to develop responsible citizens.

The implementation of the report began immediately. In 1921 five divisions were established, one being the Division of Science or Agricultural Science, as it was variously called, which became the College of Arts and Sciences in 1939 when the State Legislature approved the formation of the University of Connecticut.

Graduate study leading to the Master of Science degree was first instituted in 1920 but was confined primarily to the biological and physical sciences until the late 1940's. The Doctor of Philosophy degree was authorized in 1943, and since then the University has established over 120 fields of doctoral study with a current enrollment of almost 1500 candidates. Starting with the post-World War II years, emphasis began shifting from undergraduate instruction to graduate research. This change is exemplified by the establishment during the past decade of a number of research institutes and centers, each created to study a particular problem especially when the problem crosses traditional departmental and college lines.

² Statement on Role and Scope of the University of Connecticut. Minutes of the University Senate, (February 12, 1973) attachment 26, 72/73-A-89.

The overriding characteristic of the teaching and research programs is their tremendous recent growth and expansion. Most of the major instructional and research programs are less than three decades old; forty-six Ph.D. fields are ten years old or less, the oldest research institute is only sixteen years old, and many undergraduate programs are also quite new. The University of Connecticut has grown from an agricultural school to a major university in less than seventy years.

The University now offers a wide range of instructional and research programs. The College of Liberal Arts and Sciences provides a comprehensive program of both broad general education and advanced specialization in fields commonly associated with a liberal education. The professional schools offer programs in agriculture, allied health, business administration, dental medicine, education, engineering, fine arts, home economics, insurance, law, medicine, nursing, pharmacy, physical education, and social work. The institutes and research centers deal with such matters as black studies, cellular biology, international and intercultural problems, Italian studies, marine research, materials science, nutrition and food science, urban problems, and water resources.³

ADMINISTRATIVE ORGANIZATION

The organization chart of the University⁴ is a partial and incomplete representation of the present administration and decision-making structure of the University. Even before the resignation of President Eabridge in 1972, much of the decision and policy making powers in the University had begun to reside in the Provost's Office. During the following year, with the designation of Provost Gant as Acting President, the power was further concentrated. An informal administrative structure developed around the Provost which appeared to be the central force in the University. This was especially true of financial, personnel, physical plant and other administrative areas. The appointment of President Ferguson, who took office in August 1973, may bring about considerable change.

The Board of Trustees functioned for a period of time largely as an advisory body which worked closely with the President and tended to approve matters routinely. With the election of Governor Meskill in 1970 the role of the Board began to change. In a short period of time the composition of the Board changed and it became more directly involved in the administration of the University. Present indications are that the Board is beginning to relinquish direct involvement, although it continues to exercise considerable control through close review of the administration of the University.

The Faculty, through the University Senate and the faculties of the various colleges and schools, has strong involvement in determining policies in academic areas. The students' role, however, is more limited except as they have been included in the committee structure of the various schools and colleges and their departments.

³ See Appendix I for details of current student enrollment.

⁴ See Appendix II, table 1.

PHYSICAL PLANT AND FINANCES

The General Assembly of Connecticut established the Storrs Agricultural School in 1881 when it accepted a gift of 170 acres of land, several frame buildings and \$6000 from Charles and Augustus Storrs, natives of Mansfield.

Today the University of Connecticut owns 3,642 acres of land in fifteen locations throughout the State including 3,003 acres in Storrs, 1,800 acres of which comprise the main campus. There are more than 100 buildings in the entire system of which 85 permanent and several temporary ones are located in Storrs. The University's total investment in plant and land as of June 30, 1973 was \$284,694,816.

The University now has under construction three projects: the Mathematical Sciences Facility and the Psychology Research Center on the Storrs Campus, and a Library on the Stamford campus. In 1969 a freeze was imposed on all State-funded construction, including projects which had been authorized. Since that time there has been a partial thaw on a project-by-project basis. In the future the University will probably have to continue to demonstrate urgent need to obtain authorization for new buildings. Planning funds for a new library building were appropriated in 1969 and final plans for that building have been completed for some time. Funds for the construction of that building have not yet been appropriated despite the fact that the University has continued to give it the highest priority but it appears relatively certain that funds will be appropriated in 1974/75. President Ferguson has already indicated that beyond the new Library building, physical growth will be limited and slow.

The University's total operating expenditures for 1972/73 were \$99,591,942 of which \$70,959,046 was for the Storrs campus, \$21,596,479 for the Health Center, and \$7,036,417 for the other professional schools and branches.⁵ Under a more stringent examination and limitation by the State, the University expenditures, excluding the Health Center, have increased by only 7 percent since 1970/1971. There is no question that the University will have to take a judicious look at its spending priorities. At the present no specific directions seem apparent; but the University will probably try, as best it can, to maintain the quality of its present programs, to cut back marginal programs wherever possible, and to move gradually into new programs.

The University of Connecticut is now clearly in a transitional period. The growth and development of the past 30 years which was so marked in the 1960's is slowing down. In many respects the University is stabilizing or leveling off, if not declining; while the future is not entirely clear, the 1970's will probably be a decade of consolidation. Various aspects of planning are beginning to have an effect, especially as the Commission for Higher Education develops a master plan for the State. It is not easy to predict where the University of Connecticut will be in the 1980's but it seems certain that it will be quite different from today.

⁵ See Appendix III for more detailed information about the nature of those expenditures and the sources of University support.

CHAPTER II

THE LIBRARY

Until recently the following was the only general written statement of library objectives:

"It is the function of the Division of University Libraries:

- (1) To foster the wider and more effective use of library materials among students and staff members and among the people of the State.
- (2) To promote impartially the general educational welfare of the University through the equitable expenditure of its funds for materials related to the work of the several schools, colleges, and divisions; such materials to be selected in cooperation with the schools, colleges, and divisions.
- (3) To make available for maximum use by the staff and students and by the people of the State the library materials and plant.
- (4) To cooperate with individual staff members in making available to students in specific areas of work the full resources of the library.
- (5) To house and properly safeguard all library materials.
- (6) To maintain an atmosphere conducive to study, work, and leisure reading through the ready availability and display of materials and the adequate services of competent staff members.
- (7) To study and employ ways and means of improving the effectiveness of the library as the central service and enrichment agency of the University's educational program.
- (8) To report through the faculty news bulletin or otherwise, accessions to the library."¹

In response to the Association of Research Libraries' MRAP (Management Review and Analysis Program) the following statement developed by the University Librarian on the mission and objectives for the Library has been endorsed by the Study Team and used as a basis for the Task Forces' reports. The formulation of broad library objectives must be viewed as the first step in transforming a wide range of unwritten and therefore often poorly formulated objectives and goals for the Library and its various departments and units into a written integrated and meaningful document.²

¹ The University of Connecticut Laws and By-Laws, 10th edition, 1971. (Article X.H.2.f.)

² For an example of a format for departmental objectives and goals see Appendix IV.

UNIVERSITY OF CONNECTICUT LIBRARY
STATEMENT OF MISSION AND GENERAL OBJECTIVES

A library is an organization intended to serve human purposes. It is the mission of the University of Connecticut Library to render excellent service to all persons having legitimate library needs. The clientele of the Library includes, but is not necessarily limited to the following:

- . Students at all educational levels and in all fields of specialization;
- . Faculty members, whatever their teaching or research interests;
- . Staff members engaged in the many extension, public service, and continuing education programs of the University;
- . Executive, administrative, and other personnel of the University needing information in support of their day-to-day activities;
- . Citizens of the State of Connecticut having serious library requirements; and
- . Persons anywhere whose library needs are attested to by another library.

Excellent library service comprises many elements, among which the following are fundamental: 1.) A comprehensive collection of current and retrospective materials in any and all forms needed to meet the present and future requirements of users, 2.) Physical facilities ample in size, attractive in appearance, and fully provided with the best in modern furniture and equipment. In short, facilities designed to promote the most effective use of library resources; and 3.) A library staff carefully educated and trained in its important functions of service, teaching and research and large enough to be fully responsive to the needs of library users.

In pursuit of the ideal of excellent library service, many other activities can contribute. Expressed in specific terms these activities constitute additional objectives to which the University of Connecticut Library is committed:

To be aware of both the enduring and the changing purposes of the University and to develop and maintain library collections appropriate to those purposes.

To strengthen and extend the capacity of the Library to identify, preserve and provide recorded information to users regardless of changing fashions and scholarship.

To enhance the quality of service and improve the efficiency of operation.

To recruit an able staff and provide opportunities for professional and career development.

To improve the organization and management of the Library.

To secure the strongest financial support for the Library consistent with available resources.

To cooperate with other libraries in undertakings likely to be beneficial to users of the Library.

HISTORY

The transformation of the present University of Connecticut from a small college into a center for graduate instruction and research has been accompanied by striking changes in the Library. The first accessions were donated by Augustus Storrs, T.S. Gold and others around 1884. The collection numbered 10,535 volumes by 1906; 18,000 volumes by 1924; 35,000 by 1935; and 100,000 by 1947. A meteoric growth of the collection came in the 1960's with the advent of a new president, a new librarian, and a sympathetic legislature; by 1960 the Wilbur Cross Library contained nearly 270,000 volumes and 932,000 by 1973.

The early Library was housed in two rooms in the Old Main building. In 1909 it moved into the Dining Hall and by 1924 occupied the south wing of that building. When Beach Hall was completed in 1929 the Library moved into the east wing which provided space for 50,000 volumes.

The Wilbur L. Cross Library was opened in 1939 with a capacity for 250,000 volumes. Since the collection consisted of 65,000 volumes, space was so open that classrooms, the English and History Departments and the President's Office were also housed in the building. As time went on, the collection growth necessitated that the library occupy the entire building. In 1964 an addition to the building was dedicated which provided increased capacity for 500,000 volumes, yet statistics for that year indicated a collection of 420,000 volumes. Added storage outside the main building temporarily solved shelving problems but the space situation is again acute. The plans for the new Library building provide for 395,000 square feet (gross) and an initial capacity of 1,300,000 volumes.

ORGANIZATION

The Library on the Storrs campus is the main unit in a highly centralized library system.³ There are only two departmental libraries on the Storrs campus: the Music Library, and the Pharmacy Library which was moved to Storrs when the School of Pharmacy was incorporated into the University.

The system also includes small libraries at each of the five two-year branches of the University located throughout the State and two small specialized

³ See Appendix II, table 2.

libraries supporting graduate programs in Hartford, one for the Master of Business Administration/School of Insurance programs and the other for the School of Social Work. There are major libraries at the School of Law in Hartford and the Health Center in Farmington.

The administration and operational relationships between the Wilbur Cross Library and the other libraries are minimal. Some budgeting and personnel decisions of these other libraries are directed by the Wilbur Cross Library. However, the daily operations remain relatively independent, with the Library administration acting in an advisory capacity when required.

The Wilbur Cross Library is organized on a relatively hierarchical and bureaucratic basis according to function or form.⁴ Under this type of organization, most staff members are assigned to specific departments and in most cases to specific duties. Coordination and direction of activities is provided by the University Librarian and the Associate University Librarian working, with the advice of the Administrative Assistants, through the Department Heads. The Library is, however, slowly moving towards a pattern or organization which is likely to be less rigid and involve more staff participation in the determination of library policies.

STAFF

The Library staff is divided within the Library itself into three groups: professional, preprofessional, and classified. The basic requirement for the professional staff is the possession of an advanced degree in library science and for the preprofessional, the possession of a Bachelor's degree. These two groups are subject to rules and regulations established by the University. The classified staff, which consists of clerical and other supportive staff, are subject to the rules and regulations of the State Civil Service System.

As of October 1, 1973 the Wilbur Cross Library had 90 staff members: 37 professionals, 32 preprofessionals and 21 classified. The libraries of the branches and professional schools had 42 staff members: 25 professionals, 6 preprofessionals and 11 classified.

COLLECTIONS

The Library's collection contains materials supporting the graduate and undergraduate programs of the University. The collection is strong in the biological sciences, chemistry, French literature of the sixteenth through the nineteenth centuries, German literature of the eighteenth through the twentieth centuries, and especially nineteenth century drama and nineteenth century American literature.

Unique areas housed in the Special Collections Department are the Chilean collection of history and politics; the Belgian Revolution collection of pamphlets,

⁴ See Appendix II, table 3.

documents and memoirs covering the period from 1830-1839; the Risorgimento collection of books, periodicals and broadsides from the period of the unification of Italy. (1789-1870); and the Madrid collection treating all aspects of the history of Madrid. The Special Collections Departments collection of little magazines and Spanish periodicals and newspapers of the eighteenth through the early twentieth century is quite strong. The Alternative Press collection, including political and cultural ephemeral publications, complements the little magazine collection, the Communist and Socialist pamphlet collection and the propaganda pamphlet collection.

Literary archives held in the Library include the Charles Olson collection, supported by the Joel Oppenheimer archives, the Vincent Ferrini archives, the James Koller archives, and the Oyez Press archives.

CHAPTER III

THE LIBRARY'S ENVIRONMENT

INTRODUCTION

Most of the MRAP analysis and report concerns internal factors affecting Library operations over which the Library has a certain degree of influence. The purpose of this chapter is to examine the effect on Library activities of external factors which are often considered to be beyond the control of the Library. The investigation, carried out by the Study Team, included questionnaires completed by Library Department Heads/Supervisors; and interviews conducted with the University Librarian, University administrators, and faculty members.

Because a number of these external factors may significantly influence the development of the Library, it is critical that an awareness of them be maintained and strengthened. It is also important to respond effectively to such external trends and influences in ways which are of service to users and of benefit to Library programs. Since such factors may also be subject to rapid change, it is necessary to develop an awareness on the part of all Library staff of the responsibility for analyzing and responding to those factors.

REGIONAL FACTORS

Within the University strong interest is being evidenced in regional cooperation with other New England land-grant universities. The Durham Declaration issued by the presidents of those six institutions in the Fall of 1972 has been followed by meetings of the graduate deans, a consultant's report on Cooperative Program Planning for the New England Land Grant Universities and the formation of a Joint Operations Committee with an executive staff. The Library played a major role in the formation and development of NELINET (New England Library Information Network) which began as a general cooperative effort of the libraries of the New England land-grant universities but which has subsequently developed into a wider regional library activity with a focus on the development of services centered around a large scale machine readable data base. Continued leadership in the development of NELINET as a vehicle of regional cooperation should be followed by discussions with other land-grant university libraries to see if there are other elements of resource sharing or regional cooperation which could be pursued.

STATE FACTORS

At the present time the political climate within the State, especially as it relates to higher education, has a marked effect upon the operation of the University and the Library. This climate has resulted in general constraints upon the University causing a stabilizing budget, a lack of support for major

capital projects, and a decline in University autonomy. The latter has further resulted in a closer scrutiny of University programs and proposals by the Board of Trustees and various State authorities.

There is also a noticeable attempt to provide for better coordination, control, and planning of higher education in Connecticut. At the State level this attempt means a larger and more active role for the Commission for Higher Education which is in the process of developing a five-year master plan. The Governor's Commission on Service and Expenditures, known as the Etherington Commission, recommended that the Library serve as a clearinghouse for all State-supported institutions of higher education in Connecticut. The General Assembly has legislated that a student at any State-supported institution of higher education may borrow material from the library of any other State-supported institution under regulations to be promulgated by the Commission for Higher Education.

However, the funding of libraries in other State-supported institutions has been barely adequate for many years. Rather than reducing expenditures for libraries, as the Etherington Commission suggests, coordination and leadership, while providing for a more efficient management of resources, would lead to a need for more adequate support of all libraries when there is no indication that such support would be forthcoming.

UNIVERSITY FACTORS

Change comes to the University in a complex, slow, and subtle way. Often there is no conscious planning involved. For example, no single decision was made to develop a strong Latin American Studies program; instead, one department after another added faculty members with competence in that area until the development of such a program was inevitable.

The climate for long-range planning within the University has not been encouraging. Some of the lack of interest in planning at the University is a continuation of the trend of faculty members to be discipline-oriented. This has been accentuated by administrative and financial problems with the State, leading to a decline in faculty morale. Emphasis by the faculty on personal research has resulted in a marked decline in recommendations for the acquisition of general library material.

Developments such as an increase in independent study, the rapid shift of students from one discipline to another, the wide range of academic skills shown by students, the interest in external programs, and continuing education do not require any basic change in the Library's fundamental goals of developing a strong centralized collection of material covering a wide range of subject interests organized in a traditional pattern. These developments do require, however, that the Library staff be better able to identify and respond to the needs of the community by developing collections as well as by devising techniques for increasing the use of those collections. Such techniques would result in making the community more aware of the Library's resources and would also provide auxiliary approaches to the collections.

Within the University there are formal and informal mechanisms which aid the Library in becoming aware of trends and developments and in responding to the community's needs and expectations. Formal mechanisms include membership by the University Librarian on the Provost's Council, the Council of Deans, and the University Senate. Another formal mechanism is the Library Advisory Committee appointed by the President, which reports annually to the University Senate. A wide range of informal mechanisms is also available: personal contact with administrators and faculty members, University press releases, the University Chronicle, etc. These mechanisms are inadequate and incomplete. The groups in which the Library is represented, almost solely by the University Librarian, participate in only a small portion of the University decision-making process. In the few cases where there is a library staff connected with a particular department, school, or college, there is an opportunity, although limited, for gaining knowledge of the changes and developments which affect the Library. No informal mechanism can bring to the Library staff's attention all of the information about University programs which is needed.

The University administration apparently expects the Wilbur Cross Library to assume a stronger role in the management and fiscal control of the branch and professional school libraries. Until the present time the Library has shared budgetary and other administrative functions on an ad hoc basis with the administration of the branch or professional school. The Library is inadequately prepared to take on strong leadership and coordinating roles at either this level or at the State-wide level. The lack of adequate physical space, administrative staff, and supporting staff, as well as the general financial situation, tend to lessen the possibility of accomplishing the type of coordination needed.

TECHNOLOGICAL FACTORS

Automation of internal library routines is now underway. Within the past year an on-line circulation control system has been developed locally and, through NELINET, an on-line cataloging system has become available on a cost-sharing basis. Other uses of automation as a means of stabilizing the growth of the size of the Library staff are approaches which are acceptable to the State and University administration and should continue to be actively pursued. To date the Library has done little to develop the use of audio-visual services, although an extensive report has been prepared, or the use of machine-based information sources. The Audio-Visual Center, the New England Research Application Center, and the Social Sciences Data Center provide some services in these two areas to the University faculty and students but they are not totally adequate and there is too little coordination of all information services. The Library should continue to maintain an active interest in further growth in both areas but because of existing financial limitations caution should be exercised in embarking on extensive new programs in either area without additional commitment and support on the part of the University.

These preceeding trends appear to be exerting an influence on the University and the Library. While the need to examine these trends is important, it is even more important for the Library to develop a mechanism for continuing this kind of review periodically to evaluate the success of anticipating and responding to external factors, in addition to considering any new influences which may have developed.

CHAPTER IV

THE LIBRARY'S PLANNING EFFORT

INTRODUCTION

Planning is more than a blueprint for future action. It is informed decision making in the present to ensure flexible options in the future. It is a continuous effort to relate action to University and Library goals which are in turn responsive to changing environmental trends.¹

These University and Library goals must be discussed with and communicated to the staff so that the necessary changes can be identified and fully understood. At the departmental level, staff involvement must again be welcomed and nurtured in the subsequent steps of weighing alternatives, examining resources, initiating, implementing and later evaluating new programs, because these activities are vital for staff morale, welfare and hence institutional well-being.

The Planning Task Force focused on two principal topics: first the status of University planning and its implications for the Library and second, the status of planning within the Library itself. Our information was gathered through reading available literature and documentation and conducting numerous interviews.

THE UNIVERSITY AND THE LIBRARY

The Wilbur Cross Library's fortunes are closely linked to those of the University of Connecticut. The University has no formal Office of Planning, though its size might warrant one. University planning is a coordinated team effort among the top administrative staff responsible for the physical space needs, financial resources and academic programs.

During the past ten years, this effort has been directed toward keeping up with the expansion of the University. The emphasis now, because of fiscal necessity, will be on containment and deceleration. This should augur well for a positive planning environment. On the other hand, there are at least three planning documents² issued by special committees and task forces which

¹ i.e. Trends in higher education as they affect the University of Connecticut, advances in library technology, and inter-library cooperation within the state, regional and national scheme.

² 1. Perspectives for the University of Connecticut; a White Paper on Planning. 1972.
2. The Final Report of the Commission on University Governance. 1972.
3. Report of the Long Range Financial Planning Committee. 1972.

are presently in a state of suspension because of the uncertainties of budgetary allocations, the pending Commission on Higher Education's master plan and its implications for the University, the uncharted attitude and philosophy of the new President, and the vagaries of State executive and legislative action. These factors are currently the main constraints to University planning.

Library input into University planning takes the form of frequent informal meetings with the University Administration as needs and problems arise. The Librarian's annual reports are, in accordance with University tradition, mere compilations of statistics dwelling on achievements and hence can be discounted as sound planning documentation. The annual budget hearings,³ however, provide an opportunity for outlining and justifying the Library's needs and requirements at least on a very short term basis.

In the matter of academic planning, crucial to library development and planning, library participation is at its weakest. Often new courses are added in a piecemeal fashion or even entire programs undertaken, without full consideration of their aggregate effect on library resources. The matter for particular concern is the incorporation of new graduate courses without adequate consultation of the library collection. These courses appear to be initiated at the departmental level or in the various Curriculum and Course Committees, but how and where the library's input might best be injected remains to be determined. The Director of the Library has been involved in statewide planning programs such as CHE's master plan and the implementation of legislation to establish a mutual borrowing system for all libraries in state institutions of higher education. However, his efforts at local "consciousness raising" as a member of the Council of Deans and the Provost's Council regarding the need for more consideration of the Library in academic planning has not met with effective response. More and broader library participation might ensue if academic status is granted to librarians. This issue, however, is still unresolved.

The Library-Advisory Committee is an avenue of faculty contact, but the Committee appointed by the President to oversee and report on library matters to the University Senate functions in a purely advisory capacity. On occasion, it has served as a liaison between the faculty and the Library when its services have been requested by either party. There appears to be potential here for a more constructive relationship between the Committee and the Library Administration than now exists.

There is no systematic faculty involvement in library collection building. In some cases, involvement has occurred through departmental representatives routing departmental requests to the library, or through an individual faculty member's interest in helping build an adequate collection in his area of teaching or research. Faculty members, in general, express uncertainty concerning the library acquisitions policy since there are no written guidelines. This gives rise to the belief that assertive or influential faculty members are somehow accorded favored treatment. Needless to say, this factor does not cast library planning efforts in a favorable light among the academic community.

³ These hearings have not been held for the last two years because tight budgets left no room for changes.

LIBRARY PLANNING

Library planning has been hampered by the absence of overall University planning and by the necessity of having to cope with the rapid growth of the University. Thus it has been mainly concerned with identifying problems, seeking solutions to these problems, and working out documentation necessary to request support from the University Administration. There is no formal process for anticipating developments nor for conducting research and development for improving operations and services. Since the departmental annual reports are not standardized, their usefulness as planning documents is somewhat limited. They are used primarily for compiling statistics for the purpose of gauging trends, comparative analysis with other libraries, and in writing reports for the Office of Education and the Association of Research Libraries.

In the past five years, the major projects undertaken have been the new library building, the automated circulation system, and the hook up with the OCLC system. In each case, the broad planning and policy making was done by the top administrators based on the belief that the pertinent expertise, knowledge or interest might be lacking among the staff. The planning for implementation of both the automated circulation system and the OCLC involved staff participation but the basic planning decisions to initiate these projects were never clearly discussed or made known to the staff at large. Furthermore, administrative exploratory essays concerning future options such as "The Alternative Library"⁴ and "Beyond Replication"⁵ have not been disseminated among the staff.

Two planning projects, i.e. the Serials Report and the Akeroyd Media Report were initiated by individual staff members and encouraged by the Library Administration. The Serials Report elicited widespread staff involvement. It has not, however, been fully implemented while the Akeroyd Report remains a planning document. Financial constraint is an impediment, but more fundamentally, lack of administrative feedback on staff initiated planning may be a deterrent to such planning initiatives in the future.

Intra-departmental communication is also a vital part of the planning process. Information concerning planning moves is circulated through staff newsletter, memos, and minutes of department head meetings. However, situations have arisen when staff members have not been kept fully apprised of departmental changes resulting from major planning projects. This was true both for the OCLC and the automated circulation systems. For example, the public services staff were not completely informed about OCLC until quite late in the process and are still uncertain of the implications of the attendant reorganization.

There has been no consistent effort made in the past to evaluate library programs. From time to time, faculty opinion has been solicited. There is also the pending comparative survey of reference service undertaken by Cather-

^{4&5} Both these essays were written by the Associate Librarian, Norman Stevens, and are available in the Library Office.

ine Emerson of the University of Massachusetts and funded by the Council on Library Resources. If written guidelines for collection development become available, these should serve as a tool for assessing the Library's collection. Moreover, the automated circulation system should yield data for analysis of circulation and use patterns.

At present the planning priorities are space and finances. It is hoped that staff involvement in the planning process will be given greater consideration. The MRAP study has provided good training ground for such involvement.

RECOMMENDATIONS

The Planning Task Force has not made special recommendations for long range planning based on the belief that the strategy of planning is the same as that for short range planning. Also the philosophy embodied in "the futurity of present decisions"⁶ as indicated in the introduction should as a matter of course provide for long range planning.

I. The University and the Library.

A. Work vigorously for Library input into broader University planning.

1. Seek to establish a clearly identified formal role for the Library in existing mechanisms of academic planning and to foster their further development.
2. Develop written guidelines of collection building with broader awareness of University programs.
3. Strive for wider library representation on the University Senate and pertinent Senate committees. e.g. Subcommittee on Library Resources & Development.

B. Work toward improvement of faculty-library relations.

1. Issue more frequent and regular newsletters to the faculty and perhaps invite more contributions from the faculty concerning new literature in their respective fields, or their own research.
2. Reevaluate the role of the Library-Advisory Committee with a view to establishing a more effective partnership with the Library.
3. Provide for periodic and systematic surveys of faculty and student opinion concerning the Library collection, operation and services.

⁶ Kemper, Robert E. "Library planning: The challenge of change" in Voigt, Melvin J. ed. Advances in Librarianship, N. Y.: Academic Press, v.1, p.210

II. Library planning process.

1. Define goals and objectives, both overall and departmental, and provide for their systematic and periodic review.
2. Incorporate objectives routinely into annual departmental reports, these objectives having been fully discussed and accepted by staff members in the department. Initiate written reports on the departmental level, concerning needs, trends, and directions in special areas to be appended to the annual report.
3. Hold annual or semi-annual individual departmental meetings with Associate Director to apprise him of specific needs and problems.
4. Incorporate staff participation in all stages of planning.
5. Improve communications upward, downward, and laterally at both the initial planning and implementation stages.
6. Continue annual "State of the Library" message, discussing current status of Library and also where Library is headed.

Planning Task Force

September 1973

Mary Balmer, Chairperson

Alice Dornemann

Jill S. Hyde

Mohini Mundkur

Jeanette White

CHAPTER V

LIBRARY POLICIES

INTRODUCTION

Policy may be defined as a statement or general principle of intent that helps translate objectives into accomplishments by providing guidelines for decision making and implementation. Policies standardize activities, facilitate communication and decision-making, minimize confusion, and coordinate the actions of various units of the Library. These statements of policy vary in specificity. Major overall policies deal with issues of library-wide and university-wide concerns and should provide a framework for thoughtful change. Operating policies deal with day-to-day internal activities and should be conducive to decision-making and action regarding specific regulations and procedures.

Both the University and the Library have delineated their basic objectives. In response to the Commission on Higher Education, the University has defined its objectives as the necessity "to offer education of a quality equal to that provided by any public institution in the nation."¹ The Library's objective "to render excellent service to all persons having legitimate library needs"² complements and supports the University's objective. Yet, there are no overall policy statements available for either the University as a whole or for the Library.

THE UNIVERSITY

A number of specific operating policies are determined for the University by the State Legislature, by the Board of Trustees, and, in areas of assignment, by the President, the Provost, and the University Senate. These are largely brought together in the "Blue Book" (The University of Connecticut Laws and By-Laws). In general, the University operates under policy set by the state for all state agencies. The Manual of procedures on fiscal matters, put out by the Office of Assistant Vice President for Financial Affairs and Controller, and the University's Handbook for Classified Employees are examples of University response to these state policies.

These written policies do serve as guides to decision making. In addition there are many assumed or unwritten policies within which the Deans, Directors,

¹ "Statement on Role and Scope of the University of Connecticut" adopted by the University Senate (72/73-A-89 minutes).

² "Statement on Mission and General Objectives."

and Department Heads operate. These latter policies have been described as hard to identify and somewhat inconsistent. One such unwritten policy, operative at the University level, is that policies should be set at the lowest level possible.³ Both the Provost's Office and the top Library Administrators feel that this allows for maintenance of the greatest flexibility in decision making and interpretation.

The Library's formal avenues for influencing University policy exist largely through membership of the University Librarian on the Provost's Council, the University Senate and the Council of Deans. However, he describes his role on these bodies as one of "consciousness raising" rather than one of contributing to policy structuring. On occasion, the University Librarian is also appointed to committees studying changes in University planning or policy. Additional input into University policy formulation has been sought by both the University Librarian and the Associate University Librarian through formal statements made to the Provost's Office and to the Senate.⁴

In addition to these formal channels there is considerable reliance by the Library Administration on informal social contacts with University Administrators and faculty as a means of influencing University policy and/or determining Library policy.

The administrative policy channels between the Provost's Office and the Library Administration seem adequate when the appropriate people have the time to consider a given problem or plan of action. Mutual benefit to the University and the Library can result from personal interaction as in the case of the Library's Affirmative Action memoranda, which appear to have contributed significantly to the development of the University's Affirmative Action Plan.

Despite these formal and informal arrangements, many Library staff and administrators feel that their input to University policy formation lacks adequate avenues toward initiation of policy or toward influencing policy initiated elsewhere. They feel limited to an occasional opportunity to comment on proposals under consideration.

THE LIBRARY ADVISORY COMMITTEE

The Library Advisory Committee, which is appointed by the President, produced in 1968 a strong and useful report while they were acting as a subcommittee for the Study of Library Development of the Senate Growth and De-

³ "lowest level possible": administratively, lowest person or unit that can make the decision without affecting the operations or personnel of other units.

⁴ Library's Affirmative Action Proposal; Etherington Commission response, Communication to Senate Growth and Development Committee, Subcommittee on Faculty Involvement in Planning New Programs, titled, "The Effects of New Programs on the University Library."

velopment Committee. In more recent years the Committee has been fairly weak and ineffective in function. Views of what the Committee's role ought to be vary widely: the Provost's Office sees it as advisory to the President, a present Committee member expresses the need for a stronger role for the Committee in the University Senate, and the Committee is described in the "Blue Book" as advisory to the Library Director "and not to the Senate." (The University of Connecticut Laws and By-Laws, p.21)

The Library Advisory Committee could become more effective through proper definition of role, greater action and interest on the part of Committee members, more encouragement from the University and Library Administrations, and through improvement in some of the appointments made to the Committee.

THE LIBRARY

Where Library policies exist they appear to be consistent with those established for the University. This is not ensured in any formalized way, but follows from an unwritten Library policy of general conformity to University policy.

A lowest level possible approach to policy formation, similar to that of the University Administration, is given verbal approval by the University Librarian and Associate University Librarian. Most operating policies, therefore, are made at the Department Head level with whatever staff input the particular Department Head wishes to encourage. At the same time, final decisions on major overall policies and other more general policies rest with the University Librarian and Associate University Librarian. Some of these latter decisions appear to be made at the top administrative level with little consultation sought from other members of the library staff, even from those who will subsequently be the most concerned with the implementation of such policies, (e.g., decision to regionalize cooperation through participation in NELINET).

Within the Library there has been little effort to develop policy systematically. Formal library policies most clearly lacking are those relating to policy formation, to matters of personnel, and to the Library as a professional institution, (e.g., overall acquisitions policy, reaction to censorship). Many policies have been formulated either through historical accident (e.g., allocation of acquisition funds) or through perception of a need when a problem arises. There is also no structure for coordination and review of policy and none is really possible under the present system of "crisis management."⁵

Written policy statements which do exist, as in the Circulation Department, are viewed properly as guidelines to decision making and action in order to create fair and equal treatment for staff and users. These written policies are viewed as flexible boundaries and not as rigid limitations. In other areas unwritten or assumed policies are sometimes inflexible and other times so flexible as to result in unfairness to the user, subordinate staff, or the Library as a whole.

⁵ Under "crisis management" policies are formulated only as problems or situations arise which indicate a need for guidelines and are subject to review and revision only when new problems or situations direct attention to them.

The Library and its staff have experienced substantial recent growth and can no longer depend upon "word-of-mouth" communication for changes in policy and procedure. Some recent moves have been made toward more formalized communication, and therefore more formalized change, through the use of notices, memos, Library and Faculty newsletters, special flyers, posters, or the even broader publicity available through the two campus newspapers. These are welcomed by the staff; even more welcome would be a policy which, when adopted, would lead to standardized communication procedures throughout the library.

POLICY FORMATION PROCESS

Although adoption of policy is not clearly assigned to anyone, most authority has been assumed at the Department Head level for decision making or for the deliberate absence of decision making. Those who view formal policy as potentially restrictive and limiting or unnecessary assume the authority to operate without major policy. All eight Department Heads interviewed by the Task Force, feel fully in authority to make internal departmental policy decisions without constraints applied either from Administrative Assistants or from the two top library administrators. The one elected Department Coordinator feels no personal authority and views policy as determined by the shared authority of (1) the entire staff of the department through consensus, (2) the Administrative Assistant, and (3) the Associate University Librarian.

In the interviews with the Provost's Office and with library staff, views of each individual's own policy making role as well as their views of the roles of other personnel were recorded. A tally of the responses indicating perceived roles as "initiator", "advisor", and "policy maker" was made. Cited as solely advisory in function both by themselves and by the others interviewed, were The Provost's Office, The Library Advisory Committee, the Administrative Assistants, and the Department Heads Meetings.

As would be correct under some organizations of management, initiation and actual formulation of policy were viewed by the staff interviewed as proper functions of internal library committees. However, the interviewees feel that the only role such committees have had to date is an advisory one.

Department Heads and other staff members view the University Librarian and Associate University Librarian as being the final and frequently the only authority on broad or interdepartmental policy. These two administrators properly see their own roles as initiators, advisors, and makers of policy, while the rest of the staff interviewed cite them only as final decision makers.

CONSTRAINTS

One of the greatest constraints to policy formation is the lack of formal input from the users. At best, the Library Advisory Committee, which in some institutions functions in this capacity, serves as a minor reflection of faculty and research needs with little or no functional voice for the student users. The greatest user influence on policy formation arises when there are conflicts with existing policies, or when questions are raised that cannot be

easily answered by current policy. The institution of a "Bitch Ticket" procedure does allow for some user input, though largely negative in character. While the University Librarian favors informal contact with faculty, the majority of the Library staff interviewed feel a need for establishing more formal lines of communication with faculty and students in order to insure policies which are generally applicable and less arbitrary.

A further constraint to policy formulation and adoption appears to be a reluctance on the part of administrators (department heads through Provost) to carry through on some of the decision making efforts of Library staff. In interviews, staff frequently reported efforts put into proposed policy statements (serials, acquisitions, personnel, publications) which received no reaction. These efforts were neither approved, disapproved, nor returned to the staff (either to those initially involved or to others) for revision or review. Many of the staff feel that the lack of open administrative review and evaluation is the chief deterrent to further efforts to establish policy for the library. In addition, failure, in certain cases, to achieve coordination of policies, and lack of any library-wide policies are frequently cited as limitations on policy formation.

SUMMARY:

While policies can be critical management tools if carefully planned and used and can provide guidelines for action that help the Library achieve its objectives, there has been little formalization of University or Library-wide policies to meet objectives. Both the Library top Administration and the Provost's Office appear to favor the existing informal approach to providing policy at the level where the necessity for it is first felt. Thus, as problems or situations arise which indicate a need for guidelines, policies are formulated. These policies tend to be insular rather than broadly applicable and are subject to review and revision only when new problems or situations direct attention to them.

Library personnel express desire for more open avenues for their participation in initiating and influencing policy at all levels and for greater input from the University at-large and especially from the library users in formulation of library policies. While there have been some in-library approaches to policy formation at the operational level, many areas still lack adequate guidelines for decision making. Nevertheless, the staff appear to be making the effort to function within the broadest University and Library objectives of providing the best possible education and best service to all.

RECOMMENDATIONS

The MRAP Policy Task Force recommends that:

- I. A Standing Library Policy Committee be created that:
 - A. represents the entire library staff
 - B. serves generally in an advisory capacity to:
 1. the University Librarian primarily
 2. other Library personnel as needed
 3. the Provost's Office if warranted.
- II. The Committee so created act to:
 - A. identify existing and needed policy with special attention to:
 1. areas requiring interdepartmental coordination
 2. personnel policies
 3. acquisitions policies
 4. policies with respect to establishing and administering branch, departmental, and other library units or reading rooms.
 - B. set up clear guidelines for policy
 1. establishment
 2. coordination
 3. communication
 4. review
 5. up-dating
 - C. determine that these guidelines for policy formulation
 1. are flexible
 2. allow for Library staff awareness and input into Library and University policy formulation
 3. involve the appropriate people including those who will be concerned with implementation.
 - D. insure that clear policies are formalized to deal comprehensively with all major areas of library concern, with immediate attention to the area of non-faculty professional staff.

- E. see that an appropriate Administrative Officer clearly assigns responsibility for interpreting and implementing policy.
- F. support the University Librarian and Associate University Librarian in their efforts to stimulate the University Administration to
 - 1. establish and clarify University-wide policies for non-faculty professional staff
 - 2. create a non-faculty professional Personnel Office.
- G. find better means of communication with the Faculty and Students in order to insure flexible, generally applicable, and workable policy decisions.

Policy Task Force

October 1973

Dorothy McAdoo Bognar, Chairperson

Cheryl Comiskey

Marian Rollin

CHAPTER VI

LIBRARY BUDGETING SYSTEM

In terms of the University's goals of excellence of education, service to the community, and graduate research programs, the Budget Task Force investigated the Library budget by means of a number of interviews and study of budgetary documents. The fairly rigid control by the State of the University's budget and the restrictive fiscal climate entered heavily into the Task Force's findings. The Storrs campus requires the largest part of the available budget due to the emphasis on research and graduate study, and while most investigation was done on the Storrs budget, some attention was focused on the branches. It is hoped the Task Force on Branch, Departmental and Professional School Libraries will probe more deeply into this aspect of the budget.

The Library budget is a complex one requiring a considerable amount of advance preparation. The responsibility for the final request presented to the Provost's Office belongs to the University Librarian and Associate University Librarian. The budget is formulated on previous budgets, on information supplied by department heads, by the Administrative Assistant for General Services, and by the Acquisitions Department. Special or unusual requests which require separate budgeting (such as the automated circulation system) are appended to the budget request with their own justifications. In past years department heads were solicited for budget requests but recently, due to the University's austerity program this practice has been largely omitted.

UNIVERSITY EXTERNAL BUDGET

The Provost's Office sends notification of the budget request to the Library along with instructions, restrictions, etc.; the completed request is returned to the Provost's Office where it becomes part of the overall University external budget. This budget must be accepted by the Board of Trustees and therefore is shaped and pared down to what the University administration feels is acceptable. Budget hearings allow requestors to defend their budgets, plead for special allotments, and establish priorities in their requests. Eventually the accepted budget proposal is sent to three different agencies: the Commission for Higher Education, the budget section of the Legislature, and the Budget Division of the Department of Finance and Control which prepares the Governor's budget. All three agencies make recommendations which may or may not be taken into consideration by the General Assembly in granting the final budget, the funds by which the University will operate during the next fiscal year, although in recent years the Governor's wishes have had a strong influence on the budget.

After passage by the General Assembly and review by the executive branch of the State, the University is allocated its budget and in turn notifies each unit of its final allocation. It should be understood that the greatest part of the total University budget is already committed to personal services, maintenance,

etc. The residue, or uncommitted monies, has numerous claims upon it. In recent years the University equipment fund has, for the most part, been given to the Library for acquisitions, thereby minimizing equipment expenditures by other University departments.

LIBRARY BUDGET

The Library budget is divided into four parts: personal services (salaries, student payroll, etc.); contractual services (telephone, postage, travel, use of motor pool vehicles, etc.); commodities (office supplies, paper, etc.); and equipment. The latter is broken down into two sections: general plant equipment and library equipment. General plant equipment covers things such as shelving, catalog cases, desks and chairs, while library equipment includes books, periodical subscriptions and binding. Again, as in the University budget, a number of items are pre-spent (salaries and their increases being one example). Funds from the various categories may not be shifted; that is, salaries from vacant positions may not be used for books, nor may book money be used for salaries.

PERSONAL SERVICES

Salaries take a large part of the budget. Any increments or changes in promotion which require salary adjustments add to the annual commitment and in years when the University is not granted extra funds increments may not be given. When increments are indicated, recommendations are forwarded to the Provost by the University Librarian. Advice given by department heads and administrative assistants is taken into consideration but the final recommendation remains with the University Librarian and Associate University Librarian. At present, when increments are granted all staff members normally receive a one-step raise; in cases of inequity or promotion, more than one step may be given. Should the Library revert to a completely merit raise system the picture would change, perhaps radically.

CONTRACTUAL SERVICES AND COMMODITIES

Contractual services and commodities as mentioned above need little explanation. Two observations may be made. The first is that control of these categories of the budget remains in the Library Office. Accounting is kept of expenditures so that departments may forward requests to the Office and presumably receive their supply needs. This centralized control obviates the need for departmental allocations and subsequent record keeping by department heads. Special or unusual contractual or supply requests may need special budgeting. The second observation is that there appears to be some confusion as to the extent to which branch and department libraries may use these funds. In most cases supplies are meant to be paid for by the Dean or Director of the School or Branch; this is not clear, however, so that often that money is inadequate for both the school or branch needs and the needs of the library.

GENERAL PLANT EQUIPMENT

At the present time there is no specific allocation for general plant equipment; if the Library wishes to purchase general equipment, money must be transferred from the library equipment fund.

The Administrative Assistant for General Services accepts requests from departments, creates overall priorities, cost accounts these requests and recommends expenditures to the Associate University Librarian who approves them. Generally this officer uses her own judgment on filling minor equipment requests and gets approval only for major ones. The overall knowledge of equipment resources already in the Library and the other needs plays an important part in the equipment forecast. Occasionally needs change or windfalls of equipment are received, freeing money for lesser priority items which otherwise might not be ordered.

The branch and departmental libraries do not normally have access to this fund. Equipment needs are intended to be met by the deans or directors, or the branch book fund may be so used if the branch librarian wishes to purchase equipment out of an already limited book fund.

It should be added that if ordinary office equipment (a desk and chair for a new employee, for instance) can be obtained from Central Stores it does not come out of the Library's general plant equipment fund.

LIBRARY EQUIPMENT FUND

The library equipment fund is probably the most vital and one of the least understood parts of the Library budget. Out of it must come books, periodical subscriptions, and binding. Although the equipment allocation to the Library has increased steadily it has not kept pace with an inflationary economy.

Once the allotment of this fund is made to the Library, the University Librarian and the head of the Acquisitions Department make internal allotments. Again, certain divisions are made first: branch allocations, subscriptions, binding, standing orders and continuations; the remainder is divided into a few allocations such as Collection Development, Special Collections, and the general book fund.

Within the general book fund there are no additional departmental allocations made, neither within the Library nor within the University. Book requests from these departments are handled at the discretion of the Acquisitions Department and according to the availability of money. The Acquisitions Department has a general awareness of departmental expenditures but in most cases cannot provide information of a statistical nature.

In the flush days of the 1960's, when large increases to the Library were made, these increases were passed on to the branches: an increase to the Library meant a corresponding increase to the branches. In the present austerity

program where there is little possibility of inflation adjustments and the devaluation of the dollar has further affected the book fund, especially for the main library, such increases as have been available have been utilized to respond to specific needs.

OTHER FUNDS

Revolving funds and miscellaneous funds are not part of the overall Library budget but should be mentioned.

Revolving funds are maintained by the University out of non-tax funds. The user of these funds is expected to repay expenditures. The largest revolving fund used by the Library is its Xerox fund, out of which comes rental payments and supplies; the income from the Xerox machines' use repays these costs and when there is a profit the money may be used for student labor and the like, if related to the purpose of the account. The Library Services for the Handicapped is supported in part by another revolving fund which handles money made available for blind students by the State Board of Education Services for the Blind. Another revolving fund contains money received in payment of lost books.

Among the miscellaneous funds are gifts of money: the Archbishop O'Brien Fund, the Alumni Fund, and various donations. These funds, being non-reverting, may be spent at the discretion of the Library unless otherwise stipulated.

In addition, the enactment of the Higher Education Act has benefitted the Library extensively by the grant of federal funds under Title II-A of that Act. With the lessening of support from the federal government the Library will no longer receive large Title II-A grants and should therefore actively seek other means of increasing insubstantial funds.

It is possible that the University will establish a Development Office devoted to fund-raising projects and presumably have a staff of experts in this field. If this occurs, it would be hoped that the Library would be as active as possible in engaging this Office's support for fund-raising.

Other possibilities for outside financial support would be an active Friends of the Library or similar group, and the procurement of foundation support for special programs and fields of study.

SUMMARY

In view of the fiscal attitude of the State and the increasing demands on a limited growth budget for the University it would appear that in general the present budgetary process and allocation of funds is adequately handled; however, these processes, both within the University and within the Library, must be viewed as a response to the economic and legislative realities. As a result of this response, input at the departmental level within the Library has fallen off and is no longer fully utilized either in preliminary requests or in final allocations. The practice of soliciting written budgetary requests on both a

current and future need basis should be reinstated, and in the case of certain departments should be expanded to include recommendations for costly additions to the Library's collections. The revival of this practice would serve the dual purpose of involving more of the staff in budget planning and, with proper responses, would obviate the need felt in some Library departments for a separate allocation.

The Library has been in an advantageous position in terms of being awarded the major share of the University's equipment funds but it must seek ways to maintain and increase that support and the general goodwill of the University administration. At the same time the Library should seek additional sources of funding by cooperating with an emerging University program to gain stronger support from private individuals and groups.

The budget picture for branch, departmental and professional school libraries, other than for books, is a recognized problem due to the lack of a clearly defined policy of administrative responsibility between the main Library and the branch, school or department. It is an obvious source of inefficiency and discord with the victim being the individual library and its clientele.

The largest part of the Library budget, other than that for personal services, is the library equipment fund. The needs for a more effective handling of this account are seen to be twofold: (1) a determination of internal allocations made more on the basis of justified and demonstrated needs as opposed to allocations based on past commitments and precedents, and (2) the capability of determining on a subject basis how funds are expended. This latter point should not be seen as an endorsement of University departmental allocations but as a source of information and collection development assessment. Implicit in this approach to the formulation of the Acquisitions budget is an acknowledgment of the desirability of broader participation in the planning stage of this budget while at the same time there is the realization that once the allocation is made the Library must make priority decisions throughout the fiscal year and that such decisions can best be made by individuals who have an overview of the total Acquisitions function.

RECOMMENDATIONS

- I. The Library administration should make available to all staff on an annual basis a clear and concise summary of the Library's asking budget, the Library's budget as actually allocated, and the Library's expenditures for the fiscal year. Such summaries might include, where appropriate, related information about the University's budget or expenditures, and the budget and expenditures of other academic libraries.
- II. The Library administration should renew the practice of asking Department heads/Supervisors and branch, departmental, and professional school librarians for written statements of future budgetary needs as part of the process of preparing the Library's asking budget.

- III. The process by which library equipment funds are allocated and expended and the control and analysis of these funds needs to be carefully reviewed with a view toward allocation on the basis of demonstrated need and the provision of subject analysis.
- IV. The Library should establish a strong relationship with any programs undertaken by the University to encourage stronger financial support from private resources, in order to obtain funds which more adequately support special Library needs, especially in the area of acquisitions and collection development.
- V. The budget process and allocation of funds, other than for books, for the branch, departmental and professional school libraries needs to be clarified so that the University administration, the dean or director, the University Librarian, and the operating librarian are clear as to who has responsibility for which areas.

Budget Task Force

November 1973

Grace Dole

Jan Lowe

William Peters

Charles Searing

R. H. Schimmelpfeng, Chairperson

CHAPTER VII

THE COLLECTION AND USE OF INFORMATION

The Management Information Task Force concentrated on a review and analysis of the Library's present formal reporting mechanisms to gain an understanding of the operation of those mechanisms; the information gathered and transmitted through them; the information not currently being gathered or effectively utilized; and, finally, the elements which might constitute an improved management information system. Annual reports which have been prepared within the Library during the past several years were analyzed and discussed. Subsequently, interviews were held with all department heads and supervisors as well as the Library administrative staff primarily involved in the gathering and analysis of information. In terms of the information needs of the University, the Task Force also talked with the person who is Assistant Provost and Director of Institutional Research.

Statistics constitute the bulk of the information now gathered in the Library's formal reporting system. All such information received from departments is organized and analyzed by the Library Office primarily for use outside the Library; and the records which are kept are governed, to a large extent, by requirements set by external agencies at the national level. The responses which are made to such agencies (e.g., the Association of Research Libraries) tabulate statistics for the entire University library system and eventually appear in reports presenting information about American academic libraries.

Difficulty is sometimes encountered in answering questionnaires about salaries since such information about the staffs of the branch, departmental, and professional school libraries is not organized and available in any consistent form within the Library Office. Inquiries from accrediting agencies examining specialized schools, colleges, or departments of the University are often difficult to answer adequately because of a lack of subject analysis regarding the expenditure of acquisitions funds.

Within the University, the Library reports to the Provost on a formal basis only through a brief annual report which summarizes the statistical growth of the Library and comments on major events of the preceeding year. That report is not used for control purposes but is summarized by the University administration and appears as one or two paragraphs in the President's annual report. His report ultimately is printed, along with the reports of more than 140 other state agencies, in the Digest of Administrative Reports to the Governor.

Information is provided to the Library Office through annual reports by internal departments, as well as branch, departmental, and professional school libraries. Reporting practices vary greatly since no guidelines have been set and since there has been no exchange of reports. Those reports are essentially statistical but some may include a separate narrative section. Statistical reporting from branch, departmental, and professional school libraries has been standardized through the use of a form.

Greater consistency in the form of annual reports should augment the information provided to the Library administration and lead to a fuller understanding of problems and needs. There is presently not enough opportunity for discussion and review on a regular basis of a department's progress toward meeting its goals and objectives. After written departmental goals and objectives have been formulated and reviewed, the annual report should be used as an opportunity for assessment of progress as well as for a statistical reporting device. It should also serve as the basis for profitable discussions between Department Heads/Supervisors and their own staffs and/or their immediate administrative superior.

Apart from a formal annual report, departments do not have any consistent or systematic approach to the submission of reports on significant developments and special needs. Reports may be done at the specific request of the Library administration or, less often, when a Department Head/Supervisor feels that presentation of information in written form might be helpful. Usually the information needed for the report is readily available or can be acquired with a minimum of effort, and reports tend to be shaped around the information which is available. The main reasons for the lack of special reporting from the departmental level are that the Department Head/Supervisor is too occupied with other duties, has not been told that such reports are useful or desirable, and/or may not have the requisite skills, abilities, and practice in report-writing which would expedite the preparation of such reports.

Four general areas of information need to be developed or strengthened so that planning and decision-making can be made on a more objective basis. As was noted above, adequate information is not readily available at present about the expenditure of acquisitions funds on a subject or departmental basis. In addition to the need for this kind of information to respond to requests from outside agencies, it is needed for internal planning purposes. At a time when the purchasing power of the Library's acquisitions budget is stabilizing or declining, it is necessary to have more precise information on expenditures to assist in their review and control.

More information about the growth of the Library's collections, other than just the number of volumes added, is needed. Effective planning for the arrangement of collections and the possible placement of further material in storage require more detailed information on a continuing basis.

Very little information about user needs, except that which has been gathered by some departments in an undifferentiated fashion (e.g., how many people used the Map Room in a given period of time) has been available. Moreover, very little analysis has been made of that information which is available. While the automated circulation system will provide more detailed facts about borrowing patterns, consideration must be given to the acquisition of additional information about user needs and patterns.

Finally, the area in which the Library is perhaps most deficient is in the gathering and analysis of personnel data. The departmental and Library personnel files contain very little information other than that which may have been obtained at the time of initial employment.

Too often information which is collected by the Library is not made readily available to the Library staff. For example, the annual reports prepared by the University Librarian and the Department Heads/Supervisors have not been distributed to the staff. Special reports often receive only limited internal distribution.

The Handbook for the Wilbur Cross Library Staff did, however, make general information more readily available. The weekly newsletter, The Innocent By-stander, has helped to keep staff informed about a wide range of topics. Even substantial items are sometimes first reported to the staff in that newsletter. In the past few years an effort has been made to record and distribute minutes of Department Heads/Supervisors' meetings, as well as other regularly scheduled meetings.

At the present time, as in the past, much exchange of information has taken place on an informal, oral basis. Meetings, such as the monthly Department Heads/Supervisors' meetings, are assemblies at which problems can be discussed and at which information is exchanged. Because of their size and format, however, such meetings are effective only as a means for the general sharing of broad information. Such informal systems need to be replaced by more organized and formal methods.

Management information systems can exist at one of several levels. The system presently used in the Library is at the most basic level, gathering information essentially for the purposes of broad statistical reporting with occasional use of information in special reports for specific planning purposes. New automated systems at the Circulation Desk and in the technical services area promise innovative approaches to utilizing information for planning and control purposes.

At the University level, through the Director of Institutional Research, there is active participation in the development of a computer-based, state-wide management information system by the Commission for Higher Education. While the initial planning of that system has not included library information, it might offer an effective means for recording and analyzing a wide range of academic information including that pertaining to libraries.

The development of a more sophisticated management information system must be viewed as a long-term goal. To move from the rudimentary system currently used by the Library to a more developed planning and management system is not a simple step which can be accomplished in one stage.

RECOMMENDATIONS

- I. That formal reporting be strengthened and expanded.
 - A. Guidelines should be developed for the format and content of annual reports that will indicate not only the statistical information required for reporting purposes but also that needed for planning and control purposes.
 - B. Annual reports should be used as the basis for a discussion and review of departmental progress and an updating of departmental objectives by the Department Head/Supervisor and the staff of the department, as well as by the Department Head/Supervisor and the Library administration.
 - C. Written reports about significant events or special needs should be prepared by appropriate staff at all levels, and, in many cases, should be initiated by them rather than at the request of the Library administration.
 - D. Ability to write reports should be recognized as an essential qualification in appointments at or above the supervisory level.
- II. That information distribution be strengthened and expanded.
 - A. Clear and accurate minutes of all meetings should be kept and made available to all staff.
 - B. In addition to the routine distribution of reports to those most directly concerned, a brief abstract of all reports should be distributed to all Library staff, and the reports themselves should be available in a central place for consultation by any staff member.
- III. That in those areas where there are currently known to be deficiencies special effort should be made to develop the necessary techniques and systems for capturing information.
 - A. The Acquisitions Department should develop a system for the subject analysis for the expenditure of funds.
 - B. The departments immediately involved should develop a system for identifying and recording detailed information on the growth and development of the Library's collections.
 - C. The departments immediately involved should develop a system for identifying and recording detailed information on user needs and on library use patterns.

- D. The Department Head/Supervisor, in conjunction with the library administration, should consistently collect, maintain, and evaluate information about the experience, professional growth and development, and activities and accomplishments of each individual staff member.
- IV. That the Library should move towards the development of a sophisticated system of information gathering and towards the utilization of that information for planning and control purposes.
- A. As goals and objectives are developed at the departmental level careful consideration should be given to a review of the information needed to evaluate the progress made towards meeting those goals and objectives.
 - B. As the Commission for Higher Education develops its state-wide, computer-based management information system, the Library, preferably in close cooperation with the libraries in the other state-supported institutions of higher education, should endeavor to incorporate the information needs of libraries into that system.

Management Information Systems Task Force

October, 1973

Robert Davis (through August, 1973)

Joan Jensen

Shyamala Kutty (through August, 1973)

Norman Stevens, Chairperson

CHAPTER VIII

THE LIBRARY ORGANIZATION

INTRODUCTION

Through the process and structure of organization, a library is formally assembled to enable it to carry out its mission and objectives in the most efficient and effective way. While a formal structure is essential, care must be taken to see that the neatness of organization charts, the formal assignment of responsibilities, and the acceptance of textbook definitions of such concepts as line and staff do not create rigidity and an inability to deal with problems. Flexibility and responsiveness to new and changing needs and demands are essential. Organization must be a means of encouraging action, not a device for preventing action.

Using a variety of approaches, including an examination of available written material, interviews with all department heads, supervisors, the administrative assistants, the University Librarian, the Associate University Librarian, and an interview with the Vice President for Academic Programs, the Organization Task Force attempted to identify and describe the present library organizational structure and the staff's perceptions of it. We also attempted to analyze how well the current organizational structure meets the Library's objectives. These tasks were difficult and were not completely accomplished because the structure is complex, has changed considerably over the past several years, and appears not to have been adequately defined and described even where long-range growth and development has been planned. In order to provide a background for the analysis and recommendations of this report, the following brief descriptive comments are made. They are not intended to represent a full and adequate description of the organization structure which is needed, nor to replace the present statement on Library Administration and Organization.¹ A more adequate description can best be developed after the changes resulting from the MRAP report have been implemented. At that time such a description should be made available to all staff in order that they may have a clearer picture of how the Library is designed.

THE LIBRARY

Like most American libraries, the University of Connecticut Library has been, and continues to be, organized by a combination of function (e.g., reference) and form (e.g., serials). Until relatively recently the Library or-

¹ University of Connecticut, Wilbur Cross Library. Handbook for Wilbur Cross Library Staff (1973) p. 2-4. See also the Library organization charts presented earlier in this report.

ganization was fairly fixed and the administrative structure consisted only of the University Librarian and the department heads, who were, for the most part, professionally trained librarians with operational authority and responsibility for the management of their own departments. The past several years have seen a number of changes including: the appointment of an Associate University Librarian and three Administrative Assistants; the breaking up of some departments into a number of smaller units, often supervised by a preprofessional, rather than a professional; some attempt at the use of committees crossing traditional departmental lines to examine particular problems or to develop particular programs; greater staff participation in the selection of department heads or supervisors; and an attempt to encourage broader staff participation in the decision-making process while maintaining that process at the departmental level.

Much of this change has been the result of the rapid growth of the Library and developments within the library profession in the 1960's. Some of it has been consciously planned to meet those changes and developments and to provide for the future, but much of it gives the appearance of having developed in response to particular problems or personalities. The changes made have much to recommend them. For example, the development of semi-autonomous smaller units in circulation, reserve, and photoduplication/microtext, staffed and supervised by preprofessionals, appears to have been effective. Those units have developed a strong sense of identity and purpose that has led them to be more responsive to the needs of users.

The flexibility and fluidity in the current organization structure has, however, created problems. These problems appear to result from a lack of understanding of what the chain of command and decision making process has become and a lack of clear understanding on the part of many staff members including department heads, supervisors, and the administrative assistants themselves as to the respective roles of the administrative assistants. Existing inconsistencies in the organization of the Library (traditional vs. newly formed units) have caused uncertainty regarding individual as well as departmental responsibilities. This, coupled with the development of almost double the number of departments or units with limited administrative control of those units, has led to problems of coordination and, in some instances, has contributed to the fact that certain library functions are not now being adequately covered. It is generally felt that the meeting and committee structure is confusing and ineffective. Department Heads/Supervisors' meetings are largely informational gatherings resulting in little or no problem solving. Similarly, committees have been less than effective in dealing with issues because of inadequate provision for implementation of recommendations.

Another major area needing more attention is that of collections development. Until 1969, the basic responsibility for this area rested with an Acquisitions Department. At that time a new position of Collection Development Officer was created and the former Head of the Acquisitions Department moved into that post. No clear written description of the basic role of that new Officer and of her relationship to the Acquisitions Department was ever developed. Basically, however, the Acquisitions Department retained responsibility for the selection and purchase of current material. The Collection Development Officer assumed primary responsibility for retrospective selection to fill in gaps in the collection or to support new or expanded academic

programs. For a period of time this worked reasonably well without any formal definition of responsibilities. In the past year or two, partly because the book funds are less adequate, this lack of clearly defined roles and responsibilities has begun to create some strain. Since the Collection Development Officer has indicated that she may retire within a few years, it would appear to be an appropriate time to review the question of how the Library should best be organized to provide for collection development.

In addition, it should be noted that the Collection Development Officer is in the process of drafting an acquisitions policy. Such a policy is needed to help provide for more control over the growth of the collections and may also help to alleviate some of the organizational strain brought about by the division of responsibility. There should be broad participation in the review of that policy to ensure that all who have pertinent information or views to contribute have an opportunity to do so. There should be greater coordination, or even centralization, of responsibility for the basic collections development function. There should, at the same time, be the broadest possible opportunity for staff to participate in the selection process. To a large degree such an opportunity already exists but the staff are either inadequately informed about it or do not wish to take advantage of it. Further provision should be made to encourage more active staff participation.

For many years the Library was the basic information center on campus, but with new technologies other information services have developed. These now include the Audio-Visual Center, the Institute of Public Services, the New England Research Application Center (NERAC), the Radio-TV Center, and the Social Science Data Center. While limited University finances in the past few years have prevented the rapid growth and development of any of these services and have, therefore, limited overlap and duplication of effort, there has not been adequate attention given to the need for greater coordination among these centers in order to provide fuller access, through the Library, to their resources.

Growth and recent changes within the Library and the University have contributed to the development of additional problems. Although some preliminary work has been done, there is still insufficient attention given to the broad area of personnel. There should be more extensive provision for the employment, manpower planning, training and development, and staff relations aspects of the Library's personnel policies and programs.

Some internal supportive services (e.g., mail delivery, storage, physical arrangements of meeting rooms, etc.) require more effective management. Basic services provided to the Library by other University departments, especially maintenance and building security/exit control, require more adequate liaison and coordination to ensure that the Library's needs in these areas are efficiently met.

In summary, this Task Force has identified certain problem areas that require immediate examination and has concentrated on those problems. Many other areas require further examination. Among them are the role and function of supervisors, executive coordination, the governance of the professional library staff, and possible new forms of overall structure and organization. While the Library has adopted some interesting innovations, such as the use of a Coordinator of the Catalog Department and the OCLC Steering Committee, the time has come to review, evaluate and consolidate before proceeding with further changes. The existing structure should be strengthened so that the Library will be prepared to face the organizational changes that a new building, involvement in new programs, and expanded services will require.

RECOMMENDATIONS

- I. Provide written descriptions of the roles of the administrative assistants after those roles have been more clearly established with the full participation of all concerned. Perhaps those roles might take the following form:
 - A. An advisory role as professional colleagues for departments headed by professional librarians;
 - B. A directive role as professional leaders for departments headed by staff without professional library training;
 - C. A coordinating role for interdepartmental matters.
- II. Establish a broadly based committee to review the acquisitions policy when it is drafted and to provide for the establishment of a more formal structure for encouraging broader participation in the selection of library materials.
- III. On a regular basis, update the Library organization chart, accompany it with an adequate narrative description, and make it available to all Library Staff.
- IV. Make adequate provision, perhaps through the establishment of a Personnel Office, for the development of stronger and more effective personnel policies and programs.
- V. Ensure that individuals involved in special events have their participation cleared with their supervisors, and that others whose services may be required are notified a reasonable length of time in advance.

- VI. Define all of the elements of the Library's internal supportive services and bring responsibility for them together in one place in the organization structure.
- VII. Assign responsibility to one place in the organization structure for developing and maintaining more effective liaison with the Building Services Division of Physical Plant and with Public Safety.
- VIII. Assign responsibility within the Library for liaison with other information services on campus for the purpose of coordinating the development of collections and services and insuring the provision of centralized access to these collections to all members of the academic community.

Organization Task Force

October 1973

Diane Castillo

Charity Chang

Lucy DeLuca

Scott Russotto

Norman Stevens, Chairperson

Dennis Thornton

CHAPTER IX

SUPERVISION AND LEADERSHIP

Supervision is the management, coordination, inspection, encouragement and critical evaluation of the activities of subordinates. Leadership is the effective direction and motivation of human resources toward the accomplishment of a goal. An important part of both supervision and leadership should be to consistently raise the performance level of the people who are part of the organization by building cohesive work units, maximizing group competence and encouraging participation in the achievement of objectives and goals.

This report is based on interviews conducted with staff at the administrative (University Librarian, Associate University Librarian and Administrative Assistant), Department Head/Supervisor, and supervised (general staff) levels of the Library and on the documentation available (e.g., written job descriptions). It attempts to identify present supervisory levels and to describe the nature of supervision and leadership within the Library. It concentrates heavily on the description and analysis of supervision because leadership within the Library is limited and deficient on all levels.

The major responsibility for supervision and leadership within departments/units belongs to Department Heads/Supervisors. However confusion exists as to the distinction in terms between Department Heads and Supervisors. Although in some instances both positions involve similar types of supervision and imply leadership, the qualifications for the respective positions are different. In some cases there appears to be no distinction between Department Heads and Supervisors in the areas of responsibility and the levels of decision-making. For the purposes of this report therefore, they are being grouped together. This is an area which needs further distinction and clarification.

While written job descriptions do not exist for all positions at this level, supervisory responsibilities are mentioned, but not defined, in those job descriptions which have been written. The recent job description for Head, Reference Department specifically mentions leadership responsibility within the department. On the other hand, the job description for the unique position of Coordinator of Cataloging cites neither supervisory nor leadership responsibilities.

The duties of Department Heads/Supervisors are divided almost equally among day-to-day operational matters, planning, and personnel. Department Heads/Supervisors exercise complete authority within their departments/units but do solicit staff opinion on appropriate matters. Competence in the technical aspects of the department/unit are understood by the Department Heads/Supervisors to be an important part of their jobs. The Department Heads/Supervisors interviewed do not for the most part plan work for their staff members but do offer suggestions, give direction, and assign priorities. Those interviewed feel that although part of their job might be to provide leadership within the Library, the department/unit demands primary attention.

Within the department/unit, some staff members have supervisory duties delegated by the immediate Department Head/Supervisor. These duties vary from overseeing the daily operation to assigning work to student assistants. Such responsibility is assigned on an individual basis rather than being an integral part of the duties of the position.

General staff members work as independently as the job or work situation permits. The duties of a job are designated to a person who is then expected to fulfill his responsibility with little or no close supervision. Self-direction within the limits of the job is thus properly encouraged, allowing an individual to develop his own work plan. However, for self-direction to be an asset the Department Head/Supervisor must be aware of the capabilities of the individual.

Maintaining a high standard of supervision and leadership throughout the entire library system is the responsibility of the University Librarian. However, because of his necessary involvement in many external professional and University activities, the maintenance of this standard as well as overseeing the day-to-day operation of the Library, has been assumed by the Associate University Librarian, who also serves as general supervisor for all departments and units. The role of the Administrative Assistants is open to various interpretations but seems to consist mainly of advising Department Heads/Supervisors and attempting to achieve inter-departmental coordination.

The motivational tools used by supervisors at any level within the Library are to a certain extent limited by present constraints, whether internal or external. The usual fringe benefits are available as part of University employment. Classified staff promotions and salary increments are determined according to State law and administrative regulations. There are problems in the application of the State Civil Service system which hinder the utilization of this established merit system as a motivational tool. Although Department Heads/Supervisors may make suggestions for promotions and salary increments for professional staff, the final recommendations are in large part determined by the Library administration on the basis of University policy and guidelines. The Library's recommendations are reviewed by the Provost's Office which submits them to the Board of Trustees for the final decision. The annual salary increment for professional staff, currently considered to be automatic, is unrelated to actual performance and therefore loses its value as a motivational tool. Supervisors do not feel free to use such tools as incentives because of a lack of knowledge of the final recommendations sent to the Provost's Office. Other inducements such as flexible work week, individual recognition, and variation in work assignment are available but are not used consistently by supervisors at any level.

Leadership potential is not sufficiently developed because of a lack of encouragement by the administration and their failure to convey that such leadership is appropriate and expected from all levels. For instance, the chairing of many committees by the Associate University Librarian possibly indicates that the administration has not relayed its expectations to the staff or that the staff has chosen not to take advantage of the opportunity to display its leadership qualities. The flow of information, whether verbal or written, is primarily downward from the administration to Department Heads/Supervisors and staff, rather than upward to the

administration. The administration does try to keep Department Heads/Supervisors and staff informed of library business through the use of memoranda and the weekly newsletter. These attempts are not always successful however, as Department Heads/Supervisors and staff noted incomplete or belated information about many activities. Department Heads/Supervisors attempt to inform all concerned staff of all appropriate information which is channeled to their offices. Although such information is presented, it is not always adequately discussed within departments/units. Reactions and suggestions are not solicited nor sufficiently encouraged by Department Heads/Supervisors or the administration.

Even though all Department Heads/Supervisors interviewed feel they are always accessible to staff for intra- and inter-departmental matters, only a small number actually request staff input. General staff members feel free to discuss immediate work-related topics with their supervisors, but are reluctant to discuss grievances or broader-based topics with either their immediate supervisors or the top administration (University Librarian and Associate University Librarian). Department Heads/Supervisors may discuss such topics with the top administration. The Administrative Assistants might serve in this function, but the confusion about their positions does not invite such discussions.

Although the opinions of Department Heads/Supervisors may be solicited, responsibility for those decisions which affect the Library as a whole rests with the top administration. This pattern is repeated on the department/unit level where Department Heads/Supervisors request staff opinion but do not for the most part actually involve staff in decision-making. The ideas of the staff are advisory but carry no responsibility.

The selection of Department Heads/Supervisors in the past has been mainly the prerogative of the administration, but recently changes have been made (e.g., the need for more explicit job descriptions and wider advertisement of vacant positions). Even with this growing awareness, supervisory qualities are secondary to technical competence in many cases.

There is no formal training program for supervisory staff either to learn or to improve supervisory skills, nor is there any formal procedure for annual evaluation of work performance for all staff. The classified staff are evaluated annually in a perfunctory fashion, but the professional staff are normally evaluated only at the discretion of the individual Department Head/Supervisor. While the recommendations for salary increments and promotions may be viewed as evaluations, both are quite automatic at the present time and do not reflect a careful assessment of an individual's work. Department Heads/Supervisors are not provided with an appraisal of either their own performance or the performance of the department/unit supervised.

During the past ten years the Library has grown rapidly in size of staff, book collections, and services. Certain managerial practices have remained unchanged, but other approaches to management have been introduced in the library. The present mixture of styles results in a concomitant confusion about the role and function of supervisory personnel.

RECOMMENDATIONS:

- I. A responsible, formal, annual, written evaluation for all Library personnel should be developed which would allow for input from both supervisors and supervised. Such evaluation should be discussed by the appropriate supervisor with the individual concerned before the evaluation is formalized. This evaluation should be used as a basis for salary increments and promotions or termination of employment.
- II. The kinds of motivational devices should be expanded and used more consistently throughout the Library. To enhance the motivational effect of the salary increment for professional staff, the Library administration should formulate a policy awarding the increment on the basis of merit only. The Library administration, in conjunction with the University Personnel Services Division and the State Personnel Department, should resolve the inconsistencies in the application of written laws and regulations already governing salary increments and promotions for classified staff.
- III. There should be a distinction between Department Heads and Supervisors based on the duties and responsibilities of the position. Those positions which would be better filled by candidates with professional library preparation should be recognized.

As supervisory positions become vacant, the duties and responsibilities of the position should be closely reviewed and upgraded to the Department Head level if deemed appropriate. All persons filling those positions should have demonstrated supervisory and leadership abilities. The job descriptions for those positions should consistently and adequately reflect the degree of supervision and responsibility involved and should specify the necessary professional qualifications.
- IV. Department Heads/Supervisors have the responsibility to recognize and accept their roles as leaders within the Library. Leadership should come from and be expected of all levels of Library staff.
- V. A formal mandatory training program for those in supervisory positions, whether new or incumbent, should be provided.
- VI. The role and functions of the Administrative Assistants should be clarified, codified, and explained to the staff.
- VII. A Personnel Office should be established within the library to formulate consistent and effective personnel policy. Such an office should coordinate the use of motivational tools and staff evaluation throughout the Library.

Supervision and Leadership Task Force

November 1973

Mary Balmer, Chairperson

Doris R. Brown, Chairperson

Mildred M. Jones

Helen F. Lewis

Cynthia M. Stansfield

Carolyn J. Stocking

CHAPTER X

STAFF DEVELOPMENT ACTIVITIES

INTRODUCTION

To help in fulfilling the mission of the Library, which is "to render excellent service to all persons having legitimate library needs,"¹ it is necessary that there be present "a library staff carefully educated and trained in its important functions of service, teaching, and research and large enough to be fully responsive to the needs of library users."² The definition of staff development basic to this study is: The effective and continuing development of the skills and capabilities of library staff members while at the same time helping to fulfill the Library's objectives.

The Task Force explored three aspects of staff development: (1) Providing instruction in the performance of assigned duties; (2) Providing programs which develop and improve the knowledge, skills, attitudes, and behavior of people related to their being an effective staff member of a library (such as library orientation programs); and (3) providing, or encouraging participation in, programs which are intended to develop and update subject or professional knowledge (such as taking academic courses or attending professional meetings).

Members of four groups have been interviewed by the Task Force. These include general staff (classified, preprofessional, professional); Department Heads/Supervisors; library administrators (the University Librarian, Associate University Librarian, and the administrative assistants for Public and Technical Services); and five university administrators concerned with university staff development (the Associate Provost, the Councilor to the Provost, the Coordinator for Continuing Education for Women, the Director of the Personnel Division, and the Associate Dean for Research Development). This report is a summary of the results of those interviews, followed by several recommendations.

PRESENT OVERALL STATUS OF STAFF DEVELOPMENT

Within the Library at this time there does not exist a complete analysis of current or future personnel needs which defines the nature and extent of the qualifications, education, and training needed to staff each position in the most effective manner. Because of the low priority given to staff development, there is also no defined, continuing program which could be mobilized to begin meeting the needs revealed by such an analysis.

Training in management or supervisory skills and techniques is not currently encouraged, required, or provided for the Department Heads/Supervisors.

¹ University of Connecticut Library Statement of Mission and General Objectives.

² Ibid.

They are not encouraged or required to provide or make available training, library orientation, and continuing education activities for their staff members. Only in a limited way do the Department Heads/Supervisors take the initiative in providing on-the-job training and some types of personnel development activities.

There is no overall coordination of the staff development activities which do exist, and the major reasons given for not developing a coordinated program are inadequate budgets and staff shortages.

STAFF DEVELOPMENT ACTIVITIES TO DATE

Past activities, developed on an ad hoc basis, have consisted primarily of various series of seminars. These have been organized for purposes such as the training of staff members for the general information desk, the introduction of the entire library staff to individual department functions, and the preparation of classified employees for a State civil service examination. One brief series a few years ago brought in outside lecturers on librarianship, publishing, and other topics. In the spring of 1972 the Library financed a short computer workshop for interested staff.

In addition, on-the-job training is usually provided for new employees. Most of the staff who were interviewed said that they were adequately trained when they began work. However, most interviewees felt that they had not received adequate orientation to the Library, its collections, its services, and the interrelations of its various departments. These interviews brought out the need for a more frequent, formal, and thorough orientation program.

As far as continuing education activities are concerned, many staff members, primarily on their own initiative, are participating in areas such as taking academic courses, carrying on research projects, reading for self-directed projects, attending meetings of various types, and belonging to professional associations.

OPPORTUNITIES CURRENTLY AVAILABLE

The section on "Educational Benefits" in the Handbook for Wilbur Cross Library Staff (p. 43-44) discusses opportunities which are currently available. Attempts to follow through on these opportunities, however, have often resulted in various types of problems, some of which are discussed below. Staff members have been further frustrated by the limited number and scope of night courses offered at the University and the fact that language laboratories have no evening or weekend hours.

CLASSIFIED STAFF benefits are arranged through the University Personnel Division under the authority of the State Personnel Department. While classified staff are eligible by law for tuition reimbursement for job-related courses, such staff at the Library have never successfully been reimbursed; and it might be added, rarely have non-library classified staff received reimbursement. This situation exists because of the difficulty of proving satisfactorily to those granting the reimbursement that the courses which have been taken are related to the staff member's job.

Educational leave with pay, with partial pay, or without pay is theoretically available but is almost never granted, again because it has been almost impossible to demonstrate to the satisfaction of those approving the leave that the desired education is directly work-related and is of benefit to the agency involved. Finally, state personnel training courses in business for office workers are occasionally arranged.

PREPROFESSIONAL STAFF are usually granted released time from their regular work schedule for language, library science, and other job-related courses. However, since the Library has no complete analysis of its current or future personnel needs and since these courses are taken on an ad hoc basis, the Library may be unable to absorb into professional positions many of those who receive their library degrees in this manner.

Other constraints for these employees, as well as for professional staff, include the lack of tuition reimbursement or reduced course fees, as well as the limit of four credits allowed in any one semester. Nevertheless, it seems important to encourage additional subject and language courses among preprofessional staff members to aid in achieving the Library's mission of excellent service.

PROFESSIONAL STAFF are also eligible for released time for job-related coursework. However, professional librarians at all levels and in all departments experience difficulties in trying to avail themselves of this opportunity. In the Public Service departments where subject and language skills are needed and are a great asset, understaffed and strictly-scheduled professional staff are even more highly restricted in their ability to take time off during working hours.

In addition, reimbursement for attendance at meetings of professional associations, and similar activities which involve out-of-state travel, has been severely restricted in recent years by State policy. All such travel must be approved by the University and the State Commissioner of Finance and Control, and the written justification to support the request must clearly demonstrate that the travel is necessary for very directly work-related purposes. Funds for in-state travel, however, are budgeted to the Library; and authorization to attend and be reimbursed for meetings can be granted by the Library administration.

Travel funds and registration fees, but not other costs, for attendance by professional staff at activities such as conferences and workshops may be wholly or partially reimbursed by the University of Connecticut Research Foundation for those presenting papers, actively serving on committees, or whose presence is otherwise essential. In addition to providing assistance in the preparation of research proposals for external funding, the Research Foundation will also consider direct funding of such proposals.

Despite the constraints which exist, it seems especially important to encourage, to provide for, and perhaps to require participation in professional activities, research, and additional subject and language courses among professional librarians for the best in-depth library service in an academic community.

ALL STAFF MEMBERS have available the extensive vocational and educational counselling opportunities offered by the University's Continuing Education Services. This unit is also capable of arranging lecture series, courses, and conferences for the use of library staff.

CONCLUSION

Library staff members at all levels have expressed in interviews an active interest in their own further development. Most interviewees would very much like to be able to attend conferences and workshops; take degree- and non-degree-oriented courses; have more time for reading and research; in some cases, rise to higher positions; and, in general, have the time and the means to bring a more enriched self to the jobs which they now perform. Some staff members are able to do this on their own. However, the needs of individuals differ considerably; and most hopes for further development are never realized because of the lack of time, information, assistance, encouragement, and incentive as well as the lack of sufficient personnel within departments to carry the workload during regular absences.

RECOMMENDATIONS:

The Staff Development Task Force recommends that:

- I. The position of Personnel Librarian be created within the Library, and that the person filling this position have professional library training as well as training in personnel work.
- II. The duties of this position with regard to staff development include the following:
 - A. To study projected personnel needs to see how staff development activities would aid in meeting those needs.
 - B. To recommend changes in existing activities, opportunities, and incentives which will lead to the establishment of a planned, comprehensive staff development program whose objectives are clearly stated and coordinated with the Library's objectives.
 - C. To establish training programs for those in supervisory positions, whether new or incumbent.
 - D. To make available to all staff members, on an annual basis (or more frequently if the occasion demands), descriptions of existing staff development activities and opportunities, and to assist them in taking full advantage of those activities and opportunities.

- E. To establish procedures by which staff members at all levels can become involved in planning, operating, and evaluating staff development activities and opportunities.
- F. To establish procedures by which staff members are able to analyze and implement their career and employment plans.

III. The Personnel Librarian work closely with the Department Heads/Supervisors to ensure that they will:

- A. Help to plan, operate, and evaluate staff development activities and opportunities in conjunction with their staff members.
- B. Help to collect and retain records of each staff member's training, personnel development, and continuing education activities and achievements.

Staff Development Task Force

November 1973

Joanne Akeroyd

Mary Briggs

Dianne Ellsworth

Nancy Kline, Chairperson

Paul Price

CHAPTER XI

PERSONNEL ADMINISTRATION IN THE LIBRARY

INTRODUCTION

The Personnel Task Force studied three objectives of personnel administration at the Wilbur Cross Library: hiring capable people as library staff members; using the efforts of these people effectively; and maintaining a willingness among the staff to work toward common Library goals.

The study was carried out by reading general material about personnel administration, especially as it applies to libraries; examining various University and Library documents on personnel policies and procedures; analyzing statistics on University and Library employment of both professional and classified staff; analyzing staff turnover patterns in the Library; and sampling Library staff opinion by means of a written questionnaire.

Appended to the Task Force report is the report of the Student Advisory Committee to the MRAP Task Force on Personnel which examines personnel policies and practices in regard to student assistants.

HIRING CAPABLE PEOPLE AS LIBRARY STAFF MEMBERS

Personnel recruitment and selection procedures in the Library have undergone significant changes recently due partly to the University's investigation by the U.S. Department of Health, Education, and Welfare and partly as a result of great changes in the economic climate which juxtaposed restricted funding for higher education against an increase in the number of unemployed persons at all educational levels.

At the present time there is generally no formal recruitment effort other than campus, local, and internal Library publicity for any vacancies except for professional librarians. The recruitment and selection policies outlined in Library Personnel Procedures and Affirmative Action, April 1973 (hereafter referred to as LPPAA)¹ seem to be an accurate reflection of Library procedures during the past year.

While the Library administration has made efforts to recruit minority staff, there are now fewer minority members working at the Library than there were two years ago. It is urged that the efforts to employ minority members be not only continued but intensified.

One change in recruitment policies which occurred as a result of the Library's commitment to affirmative action has been especially welcomed by the preprofessional/professional staff. This is the encouragement of applications from present staff for

¹ Stevens, Norman D. Library Personnel Policies and Affirmative Action. April 1973. 31p. A review of the Library's recruitment, selection, promotion, and salary review procedures written in conjunction with the HEW report on affirmative action and the University's response to that report.

new positions and for transfers into existing vacancies. The number of transfers within the Library has increased during the past five years and in general the results have been beneficial. As far as classified employees are concerned, there is no clear understanding at the general staff level, nor on the part of the Department Heads/Supervisors, of the complicated process necessary to transfer from one position to another. There is also limited opportunity for lateral Civil Service transfers within the Library.

USING PERSONNEL EFFECTIVELY

Job Descriptions

Written job descriptions exist for nearly all Library jobs; and, during the past year, it has been Library policy to have the Department Heads/Supervisors draft or review job descriptions whenever a position becomes vacant. This has resulted in the up-dating of some positions to reflect the Library's needs in staffing new functions. However, not all positions have written job descriptions and many that do exist do not accurately outline the duties and responsibilities of employees. Furthermore, the job descriptions for Department Heads/Supervisors, whether written or oral, do not sufficiently distinguish their qualifications, duties, and responsibilities.

Classification Plan

For the preprofessional/professional staff a classification plan has been created by the University which identifies avenues of career advancement. For the classified staff there is presently a rigid State-created plan for career advancement; and, because of additional complications within the University, Library efforts to solve the problems of classification and promotion of classified employees as described in the LPPAA paper have not been successful. Classified positions also may have titles which bear no relationship to the nature of the job, i.e., University Helper and University Maintainer have in reality been clerks and typists.

Compensation Patterns

For classified staff the pattern of compensation is fixed and regulated strictly by the State Civil Service. For preprofessional/professional staff a scale exists, but it is not applied systematically. When new salary scales have been established, staff members with seniority may find themselves at the same level as newly-hired persons. Cost-of-living increases and the June 1973 bonus, although received by all employees, have favored newer employees over older ones. To a limited extent longevity payments are an attempt to rectify this situation, but since employees are eligible for these only after ten years of service, there are still some wide gaps.

On some occasions there has been an unequal opportunity for overtime work by classified Library employees. There also have been instances in which employees have had to use personal cars for day-to-day Library jobs without compensation of some kind.

While it is difficult to compare salaries paid in the Library to preprofessional/professional staff with those paid elsewhere in the University, there are dramatic variations in the overall pattern. In the teaching departments,

salaries tend to cluster around the upper two or three position levels (professor, associate professor, and assistant professor). In the Library, salaries are much lower overall, except for the upper level administrative positions. This has resulted in a situation where most Library employees are grouped at the lowest salary ranges, a few in the middle ranges, and a very few at the top. In addition, as in the library profession nationally, women are increasingly relegated to the lower ranks and the opportunities for promotion and advancement to higher salary levels, never equitable at best, have further declined.²

Promotions, Periodic Review, Increments, Other Motivational Tools

An analysis of the Library's procedures for promotion and salary review is given in the LPPAA paper. For the classified staff the analysis and the presentation of problems and possible solutions seems equitable, except that there is no discussion of the problem confronting staff who are at the maximum for their pay grade and for whom no promotions can be obtained. Employees in this situation continue to work with no opportunity for salary increments.

Until 1972, the only evaluations of preprofessional/professional staff were written by Department Heads/Supervisors when recommending certain employees for promotion. This procedure was modified last year when the Library administration suggested that Department Heads/Supervisors might in addition write evaluations for all preprofessional/professional staff members. Recently the procedure was changed further, and those at the supervisory level were asked to write evaluations and recommendations for reappointment and promotion for all preprofessional/professional staff. Several problems were created as a result of this change since there was virtually no notification of the changed procedure to the staff at large, no guidelines were suggested for the preparation of evaluations, and there was no provision for staff members to evaluate superiors.

If there is to be a formal, periodic review of an individual's performance, then it would seem essential that procedures be instituted to maintain standards which are objective and administered fairly throughout the Library. Maximum value of performance reviews will only be achieved when (1) persons responsible for the reviews have received specialized personnel training and (2) when the reviews are constructed carefully so that they are positively oriented and emphasize the identification of opportunities for improvement in performance and professional growth.

As far as salary increments are concerned, the present unwritten University policy seems to be that of awarding virtually all staff members a one-step annual increment. As long as inflation continues to spiral it seems only reasonable to expect annual increments, even though this practice does negate the effectiveness of higher salaries as a motivational tool. Perhaps the best solution is a combination of both: automatic one-step increases for all, plus additional increments for outstandingly meritorious service. Finally, at the present time there is no formal method of publicizing the names of those few employees who do receive additional increments based on merit or multiple increases to correct salary inequities.

The ability of the Library administration to use promotions for preprofessional/professional staff, with or without salary increments, as an additional

² Schiller, Anita R. "Women employed in libraries: the disadvantaged majority." American Libraries 1:345-349, April 1970.
 Schiller, Anita R. "Commentary...Schiller responds." American Libraries 1:644-645, July-August 1970.
 Schiller, Anita R. "Report on women in librarianship." American Libraries 2:1215, December 1971.

motivational tool is restricted because of the rigid promotion time-schedule adhered to by the University and also because of the past practice of promoting primarily on the basis of administrative assignment. The staff member who is promoted does not receive any increase in salary in most cases because the person is usually already above the minimum salary for the new rank; however, the amount of the step-increments is somewhat greater at the new rank.

Some of the other motivational tools available to the Library administration include a flexible work-week, individual recognition, variation in work assignment, and released time for educational purposes. These are not consistently used by Department Heads/Supervisors but do have potential as supplements to the traditional tool of higher pay.

One final motivational tool is the recent improvement in physical working conditions within the Library, i.e., the rearrangement of space to provide more room for staff members to work, the use of decorative wall-hangings and brighter colors, etc. These changes have not required a great deal of money nor have they needed additional staff to accomplish, yet they have caused a definite improvement in staff attitudes.

Available Skills and Capabilities

The roster which identifies all staff with information on skills, experience, and education has not been brought up to date during the past two years. Some of this information is contained in employees' job applications, but access to those applications is limited. Within the past few years there has been a greater effort to match peoples' skills to their positions; however, there are staff members who feel that they are not adequately using their skills, and efforts need to be made to use these people more effectively.

Recent organizational changes in the Library are difficult to analyze because there is no consistent pattern for the grouping of staff. However, there has been a deliberate grouping of preprofessional/classified employees together into units and of certain professional librarians into one department. Future assignment of professional staff to the units would be possible only after reexamination of the goals of the unit.

Within the past two years the reorganization of the Library has attempted to increase the levels of responsibility in some areas and also to create smaller working groups. While these changes have placed more responsibility on some pre-professional staff members, the grouping of professional librarians without supporting staff has resulted in their assumption of some clerical and routine tasks. Furthermore, the smaller working units have produced a sense of isolation and feelings of parochialism among staff who do not have an overall view of Library goals. The lack of communication among these groups has also created a lack of understanding about the effects of decisions and attitudes of people working in one area on the workload and flow of work in other areas. For example, as far as technical services functions are concerned, there are many occasions when the work of professional librarians throughout the Library is affected, if not indeed determined, by staff who do not have professional training.

The future of the pattern of separating professional librarians from pre-professional/classified staff is unclear. The Library's inability to obtain new positions in order to hire additional supporting staff has created the impression that this pattern of grouping is setting a precedent for future organizational

structure. Because there is disagreement over the advantages and disadvantages of certain aspects of the reorganized structure, it seems necessary that time-periods be established for evaluating the reorganization. Participation in the evaluation by staff at all levels would be essential.

Primarily because of the difficulty in filling vacant positions within the Library two years ago due to the Governor's freeze on the hiring of State employees, staff members at all levels volunteered to share their skills and abilities with departments/units which were badly understaffed. In some cases satisfaction has been expressed at the success of this endeavor, and many people gained a greater sense of participation in the Library as a whole. However, due to the informal nature of this experiment, some supervisors who volunteered their staff's time were not able to get help in return when it was needed.

There is presently little provision within the Library for the short-term or irregular sharing of classified/preprofessional staff members' special skills with other departments, especially when those departments are composed primarily or exclusively of professional librarians. With the exception of the Catalog Department, there is also little provision for the employment of professional librarians on a part-time basis.

Turnover

Since 1960 the Library staff has at least tripled in size as the budget increased and Library functions and services became more complex. Staff turnover has fluctuated during this period and, while it is difficult to make precise analyses, some facts may be useful. Of the 240 people leaving employment at the Library since 1960, fifty percent left before the end of their first working-year and an additional thirty-eight percent by the end of their third year. More than half of all departures occurred in two departments, with one department having thirty-four percent of the total departures.

The reasons given by people for leaving Library employment have been summarized in the following table.

Reasons for Leaving Library Employment

<u>Reason</u>	<u>Number of People</u>
Moving out of the area	68
Accepted another job	47
Hired temporarily	38
Furthering education	18
Maternity	17
Prefer not to work	15
Not sort of work wanted	10
No reason	10
Unhappy in Storrs	2
Retirement	5
Death	2
Involuntary resignations	8
	240

While the stated reasons coincide with the person's true reason in many cases, there are other instances where the underlying causes are not readily apparent. Personnel studies have shown that reasons given at resignation time are often polite. However, when questioned some months after resignation, people in general are apt to cite dissatisfaction with pay and poor supervision.³ Since those leaving employment at the Library have not been interviewed at the time of their departure in any attempt to elicit an underlying reason for resigning, it seems reasonable to assume that resignations have been partly motivated by the failure of the Library to meet individual needs, including those for career development.

New Positions

Due to the fiscal and political climate of the State, the establishment of new positions in the University has been infrequent and irregular. There have been no new positions assigned to the Library for three years. At times it has been difficult or impossible to fill even those positions which became vacant through resignation or retirement. During recent reorganization, seemingly-new positions are actually reallocations of old ones.

At this time vacant positions in the Library for preprofessional/professional staff can be filled only by approval of the Provost's office, the Equal Employment Opportunity Officer, and the Commissioner of Finance and Control. Approval is made only after an analysis of Library needs has been presented and priorities have been declared. Within certain limits the Library has flexibility in determining the salary level and classification of new employees, i.e., at times it has been possible to establish an upper-level position by not filling two lower-level vacancies.

Projections of Personnel Needs

Staffing needs are projected several years in advance at the time the Library drafts its budget requests. These projections include rank, department, and duties of new staff. The Library has also prepared a general request for its personnel requirements in the new building, including physical plant and maintenance requirements. However, aside from these projections, there are no formal plans which consider departmental objectives, anticipated workloads, analysis of staff and skills required, supervisory requirements, technological changes, and possible changes in Library or University programs.

MAINTAINING A WILLINGNESS AMONG THE STAFF TO WORK TOWARD COMMON LIBRARY OBJECTIVES

Personnel Administration Functions

Personnel administration functions are handled chiefly by the Associate University Librarian and the Library Office staff. Reappointment and promotion recommendations for preprofessional/professional employees are made by the Department Heads/Supervisors and reviewed by the Associate University Librarian who discusses them with the appropriate Administrative Assistant, and if necessary with the Department Head/Supervisor. All preprofessional/professional staff are reviewed

³ Stebbins, Kathleen B. Personnel Administration in Libraries. 2d ed. New York: Scarecrow, 1966. P.101.

by the Associate University Librarian who may then suggest to the Department Head/Supervisor that promotion be considered. Final recommendations are made jointly by the Associate University Librarian and the University Librarian to the Provost.

There are two documents which contain written statements of objectives covering overall personnel administration activity, the LPPAA paper and the Handbook for Wilbur Cross Library Staff (January 1973). The latter is currently given to all new Library employees even though it contains discrepancies and is somewhat outdated. Exceptions have been made to the statements in these documents; however, these exceptions in policies have not been communicated to all levels of staff, nor is there any attempt to incorporate the revisions into one manual.

In addition a preliminary report written by a staff committee in the spring of 1971 on Policies and Procedures Governing the Appointment, Promotion, and Termination of Staff received no official reaction by the Library administration; and it is unclear which portions of this report, if any, currently affect the work of those carrying on Library personnel activities.

From time to time there have been other statements dealing with personnel functions in various departments. Two of these are the Steering Committee paper on Technical Services Reorganization for the Use of the OCLC System (May 21, 1973) and the documents which preceded the reorganization of the Catalog Department in 1970. Not all of these documents, including the LPPAA paper and the Library Handbook, have the same point of view; nor is there currently any consistent attempt to review the inconsistencies or examine alternate approaches to departmental organization structure.

Finally, there are supervision and liaison problems caused by having some people working as building security/exit control and maintenance staff within the Library who are under the authority of departments outside the Library.

Grievance Procedures

Grievance procedures are outlined for both classified and preprofessional/professional staff in the Library Handbook. Although the LPPAA paper states that the classified staff has a fixed and reasonably sound grievance procedure, there have been difficulties with it. The preprofessional/professional staff may appeal decisions concerning reappointment, promotion, and salary adjustments to the Library administration and directly to the Provost and the President. At the present time there is no precise and well-defined grievance procedure for non-teaching professionals but any staff member may elect to have a group, such as the Federation of University Teachers, represent that person in an informal grievance procedure. However, this has been done only rarely.

Labor Laws

Since there are several safety risks in the Library which have not been attended to, it is evident that there should be some person or some committee at the Library administering safety and health complaint procedures in compliance with new Occupational Health and Safety Administration rules. As an additional example of this type of need, it appears that an employee with a possible workman's compensation claim was not referred to appropriate University or State authorities.

QUESTIONNAIRE

A questionnaire dealing with staff morale, personnel strengths and weaknesses, and job flexibility was completed by twenty people, including the Associate University Librarian, the Administrative Assistants, and a random sampling of Department Heads/Supervisors and general staff at all three levels.

Because of the inadequacies and inconsistencies in personnel policies and procedures which exist among the departments/units within the Library, it was very difficult to draw any conclusions from the questionnaire, except that most staff members rated the morale level as "fair." Certain factors, such as independence within one's job or released time allowed for professional activities, were either strengths or weaknesses depending on the experiences of the person responding to the questionnaire. However, a general concern with the inadequacies and inconsistencies of personnel policies and procedures was expressed. In addition, staff felt that there is a lack of concern for the individual and a lack of communication regarding changes to be made within the Library, including consultation with staff members before the changes are to be made.

Those answering the questionnaire were also aware of constraints outside the Library which affect personnel administration such as the rigidity of the State Civil Service system for classified employees and the State/national attitudes toward finances for higher education.

CONCLUSION

There is a growing awareness within the Wilbur Cross Library of the need to develop and use more effectively its human resources. Traditionally, especially during the affluent conditions of the 1960's, the emphasis in the Library has been on the development of the book collections; now, staff members at all levels recognize the importance of helping to meet the needs of individuals, including their development as staff members, in conjunction with fulfilling the objectives of the Library. This awareness has resulted in the increasingly strong expressions of staff sentiment concerning current Library personnel policies, particularly the criteria for promotion, grievance procedures, and the awarding of increments. The fact that these policies in general are not administered in a consistent fashion by those at the supervisory level, as well as the constraints imposed by the University and the State Civil Service system, only serve to intensify staff concern.

In addition, demands on the Library are increasing from a variety of sources; and Library services are expanding, some as a result of outside pressures over which the Library has little control. In other areas Library services have been expanded as a result of internal organization and the installation of automated equipment. While it is true that the constantly expanding workload does not affect all staff members equally, it has been most noticeable in those departments with public service functions. Occasionally new procedures or the introduction of automated equipment in one department has had far-reaching effects which were not initially anticipated on staff members' workloads in other departments.

Due to the Library's inability to obtain new positions or even fill vacant positions promptly, workloads have become unbalanced in various cases; some staff

members have seen their workloads grow swiftly, while others have not been affected so dramatically and are still able to devote some of their energies to Library-wide activities. While the Library administration should continue to press for additional staff, one partial solution which may be available now is the restructuring of some present jobs so that they would be described as crossing department lines on a regular basis, thus making available sufficient personnel to staff the normally-occurring peak periods.

RECOMMENDATIONS

The Task Force on Personnel recommends that:

- I. The existing organizational structure for personnel administration covering both permanent employees and student assistants be changed to one which:
 - A. Is concerned with overall personnel matters in a more sophisticated manner and in greater depth;
 - B. Provides more centralized control over personnel policies, procedures, and records;
 - C. Has as one of its goals that of helping to fulfill individual staff members' needs as those needs are related to departmental and Library objectives.

The reorganized structure should continue to have authority over those at the supervisory level and could take one of several forms: A Personnel Librarian; the delegating of personnel matters to the Administrative Assistants for Technical and Public Services; the formation of a committee (all or part of which should be elected) with representation from all staff levels, including student assistants; or combinations of these forms.

- II. Department Heads/Supervisors, supervisory employees or groups, and all administrators immediately work toward the elimination of the discrepancies, inconsistencies, and inequities which exist in the departments/units regarding the implementation of personnel policies and procedures covering permanent employees and student assistants.
- III. Ample opportunity be created for regular and formal input upward into the supervisory and administrative levels from permanent staff and student assistants about the creation and administration of personnel policies and procedures.

The following is a list of problems in or suggestions for specific areas which are of immediate concern:

Affirmative Action

Continued and improved efforts to employ and promote minority members at all levels, especially the advanced professional and administrative levels.

Improved efforts to employ and promote women at all levels, especially the advanced professional and administrative levels.

Salaries

Adjustments in salaries to correct existing inequities, especially any which are based on sex, as well as the correction of inequities created as the result of new minimum levels.

Equalization of overtime assignments for classified staff where inequities exist.

Statement of policy for awarding salary increments. Announcement of number of increment steps granted to Library staff and publication of names of persons who receive additional increments based on merit.

Compilation and publication of comparative salaries by library for all employees within the Library system, by rank and sex and including student assistants.

Working Conditions

Remedying of health and safety risks.

Continued efforts to improve physical working conditions for all staff.

Other Personnel Areas

Establishment of more precise grievance procedures within the Library for all staff and within the University for preprofessional/professional staff.

Creation of guidelines for evaluation of staff members, with provision for input by staff in the evaluation of Department Heads/Supervisors and other administrators.

The revision and updating of the Library Handbook every six months or as needed.

The revision, integration, and adoption of the LPPAA paper and the preliminary report on Policies and Procedures Governing the Appointment, Promotion, and Termination of Staff.

Improved orientation procedures for new staff.

Continued efforts to solve the supervision and liaison problems concerning the building security/exit control and maintenance staff.

Continued and more effective use of personnel statistics; updating roster which identifies staff skills, etc.; initiation of interviews with departing staff.

Library Reorganization

Examination of overall organizational structure of the Library with a view toward a new structure designed to make more effective use of professional librarians as well as other staff members.

Cathy Danielson
Camille Forman
Nancy Kline, Chairperson

Betty Meehan
Millard Ray
Eleanor Tremko

December 1973

REPORT OF THE STUDENT ADVISORY COMMITTEE
TO THE MRAP TASK FORCE ON PERSONNEL

The original intention of the Student Advisory Committee as charged by the Associate University Librarian, was to explore and resolve personnel problems associated with student assistants as these areas related to affirmative action. However, additional problem areas uncovered during the course of the investigation lead to an expansion of the Committee's scope, with the approval of the Associate University Librarian.

Library personnel records were used to study and document the existence of any discernable pattern of discrimination in recruitment or remuneration. In addition, interviews, documentation, and a questionnaire distributed to department heads and supervisors formed the basis of the Committee's investigation into current recruitment procedures, working conditions, grievance procedures, job descriptions, and attitudes towards student fringe benefits.

Although no apparent discrimination exists in the hiring of student personnel by race or sex, there are inequities in starting salaries between departments which cannot easily be justified by anything appearing in the records. Students with work study funding are given preference at time of hiring and receive more frequent pay raises than students paid out of the library's personnel allocation.

Present recruitment policy appears to be satisfactory to department heads and supervisors. In addition to a central applications file in the library office, some departments advertise openings through presently employed students.

The working conditions of student assistants are not consistent within the library even in areas for which certain guidelines were established in 1969.¹ Few departments have written student procedures handbooks or similar documents clearly stating expectations or duties. Attitudes toward work breaks, raises, dress codes, etc., differ from department to department.

There are no formal working grievance procedures. Most problems (i.e., personality conflicts, disagreements over scope of job responsibilities, etc.) are handled within the department through informal discussion, however many department heads and supervisors did indicate an interest in a student grievance committee.

The job descriptions received as a result of the questionnaire were, in most cases, the first ever written for student positions. The descriptions warrant closer analysis to determine if inequities exist between departments in the area of salary paid versus level of responsibility of skill required.

Although the question of granting fringe benefits received a generally negative response, probably due to a restrictive student labor budget and the transient nature of student personnel, most department heads and supervisors affirm the vital role student assistants have in maintaining daily library services.

¹ Stevens, Norman D., Instructions for Student Assistants, Wilbur Cross Library Storrs, Connecticut, September 1, 1969.

Report of the Student Advisory Committee
to the MRAP Task Force on Personnel

page 2

SUMMARY

- I At the time of this report, the consensus of the Student Advisory Committee is that:
 - A. Recruitment should continue to be centralized in the library office. Job descriptions for student positions should be kept current and advertised in accordance with the library's affirmative action policy.
 - B. This Committee should continue to work toward updating the student handbook, arbitrating student related grievances, helping to establish equitable rates of pay between departments, improving student working conditions, and studying the feasibility of fringe benefits for student employees.
 - C. To enable department heads and supervisors to more adequately anticipate and provide the student labor necessary to maintain library services, closer liaison be maintained with the student financial aid office, a standard criteria for planning be communicated to department heads and supervisors, and the final decision on allocation remain centralized in the Library Office.

RECOMMENDATION

We recommend that a personnel office be established and that all matters pertaining to the employment of students in the library come under the jurisdiction of that office.

Student Advisory Committee

December 1973

Diane Castillo

Dianne Ellsworth

Helen Lewis

Ellen Miller

Paul Price

CHAPTER XII

BRANCH, DEPARTMENTAL, AND PROFESSIONAL SCHOOL LIBRARIES

The need for incorporating a review of the Branch, Departmental, and Professional School Libraries was realized early in the MRAP study. A special Task Force appointed by the Study Team was therefore requested to examine the administration and organization of the University of Connecticut Libraries outside the Wilbur Cross Library, to identify problems in those areas and possible solutions to the problems, to review the relationships of these libraries with their Deans, Directors, and Department Head and with the Wilbur Cross Library, and to determine the rationale behind existing administrative patterns. Libraries included in the study were those associated with the five Branches (Hartford, Southeastern, Stamford, Torrington, and Waterbury), the two Departmental libraries on the Storrs campus (Music Department and School of Pharmacy), and three of the five Professional School libraries (Marine Sciences Institute, School of Business Administration, and School of Social Work).

In order to elicit essential information questionnaires were distributed to the Deans, Directors, Department Head, and Librarians of the Branches, Departments, and Professional Schools, and to several Library and University administrators; interviews were conducted with Branch librarians and professional School librarians, the University Librarian and Associate University Librarian; and relevant materials from the Wilbur Cross Library Office files were examined. The questionnaires were designed to yield an understanding of where those queried felt the responsibility lay for the following areas: budget preparation and control, personnel allocations, hiring of personnel, building equipment and maintenance, planning of space and overall planning, coordination and communication, general administrative control, and the determination of the libraries' policies and objectives. Interviews were conducted to gain further comprehension of the current situation, problems and possible solutions.

With regard to overall organization of these libraries, there is a pronounced absence of clear guidelines concerning the relationships of the libraries first to their own Branches, Departments, and Schools, and then to the Wilbur Cross Library, and of the administrations of the Branches, Departments and Schools to the Wilbur Cross Library administration. This absence was perceived to be probably the greatest weakness of the organization of these libraries.

Questionnaire responses indicated that many functions are carried out differently from one library to another. Confusion often exists in the determination of administrative responsibility. It has never been made clear whether this responsibility, especially for budgets and hiring, lies with the Librarian, the Dean/Director/Department Head, the Wilbur Cross Library administration, or is to be shared. The confusion was exemplified by the fact that Deans/Directors/Department Head and Librarians associated with the same libraries often answered the same questions in different ways. The Librarians and Deans/Directors/Department Head indicated that the present relative autonomy results in effective

functioning of the libraries. On the other hand, the lack of guidelines for execution of overall management practices was seen to be a serious shortcoming. This situation reflects one that exists throughout the University.

The ambiguity as to which groups or people within the University are responsible for certain types of decisions and have the power to make them leads to a feeling of impotence, sometimes even on the part of those groups that do have the responsibility. The overlapping concerns that are inevitable among decision-making groups can become bones of contention rather than areas for joint exploration, meaning that one group cannot benefit from the information or conclusions developed by the other. This may be witnessed in everything from student government to faculty Senate committees and to presidentially appointed committees.¹

The indefinite lines of authority have evolved according to history and personalities involved, and although those involved have adjusted, the problems that exist remain unresolved at least partially because of this framework. Problems have also resulted from the apparent lack of interest on the part of University administrators in development and support of Branches and Schools not located on the central campus. In addition, it is unclear whether these libraries are excluded from Library activities and developments such as the automated circulation system, OCLC, and book theft detection system, because of size, lack of funds, lack of interest or understanding. Written plans have rarely included consideration of expansion of such developments to Branch, Departmental, and Professional School Libraries.

There is generally a lack of participation of the aforesaid librarians and administrators in Library decision-making processes which might affect them. Perhaps the most important problem in this respect is the absence of a clear, formal process of input in budget planning.

A critical shortage of clerical help has forced librarians to assume almost all clerical routines. Moreover, confusion exists regarding proper bookkeeping procedures, use of University forms, and communication of changes made in University office procedures and forms. Because of the lack of supportive staff, professional activities such as preparation of bibliographies and training programs for staff and patrons suffer and staff development activities are minimal.

The physical separation of the Branch, Departmental, and Professional School libraries from the Wilbur Cross Library has contributed to a lack of communication and a lack of knowledge on the part of all staff of the library system regarding libraries with which they are not associated. For instance, this situation led the Library Committee on University Governance in January, 1971, to exclude the librarians of the University's off-campus professional schools because it did not have enough understanding of the relationships between these libraries and the University Library system. On the other hand, the incorporation of news items from the off-campus libraries in "The Innocent Bystander" has been one pos-

¹ Perspectives for the University of Connecticut; a White Paper on Planning (1972), p. 28.

itive means of informing all University Library staff of activities.

There has been little opportunity for participation of Branch and Professional School librarians in the committee/meeting structure of the Wilbur Cross Library. The Branch Librarians meeting has been limited to a small group of librarians with no real occasion for all University Library personnel to meet and discuss their activities and programs.

Other issues considered by the Task Force which need further investigation included: 1) the need for a formal and written Library/University policy on the conditions under which Reading Rooms should be established and/or elevated to Departmental Library status, and the amount and kind of support that the University, the individual Departments, and the Wilbur Cross Library should afford them; 2) the problems which arise from limited access to audio-visual materials on campus and the need for clarification, coordination and possible integration of the roles of the Audio-Visual Center and the Wilbur Cross Library in this matter; 3) the severe space shortages in some of the libraries under study.

Since this study began there have been several developments which may alter some of the situations described in this report. The additional allocation of \$125,000.00 for expansion at the Stamford Branch this year has resulted in the addition of three new positions at the Stamford Library (1 professional, 1 pre-professional, and 1 classified). As part of the expansion program, \$83,000. has been earmarked for purchase of books.

President Ferguson's statements regarding overcentralization of the University administration opens questions as to his philosophy toward the present strong policy of Library centralization.² At the present time it is also uncertain whether the appointment of a new Vice-President for Financial Affairs and other possible administrative changes in the University will result in alterations of University policy regarding the organization and administration of the Branches and Professional Schools and their libraries.

²University Chronicle, v.4, no.27 (February 28, 1974), p.1-2.

The Task Force on Branch, Departmental, and Professional School Libraries recommends that:

- I. The University Librarian and Associate University Librarian work in conjunction with all persons involved with the administration of the Branch, Departmental, and Professional School Libraries, including Deans, Directors, Department Head and Librarians, to develop in writing clearly delineated lines of administrative authority and responsibility for all of the areas outlined in the questionnaire. (See Appendix) This task should be completed no later than May, 1975.
- II. A member of the University Library staff be designated by the top Library Administration to:
 - A. Consult with the Branch, Departmental, and Professional School Librarians and refer problems to the appropriate person(s) for solution.
 - B. Ensure that all policies relating to Branch, Departmental, and Professional School Libraries are consistent with those of the central Library insofar as they serve the individual Libraries' needs.
 - C. Ensure that Branch, Departmental, and Professional School Librarians are provided formal input to the various decision-making and planning processes which affect them (e.g., budget preparation, personnel).
 - D. Provide liaison for the Branch, Departmental, and Professional School Libraries with the University administration.
 - E. Chair a study of (1) the Library's relationship to information services and agencies of the University such as the Audio-Visual Center, Social Science Data Center, and New England Research Application Center, the goal of which is to define these relationships and (2) possibilities for cooperative projects involving these areas.
- III. Final recommendations of all the other MRAP Task Forces and Study Team summary recommendations should apply to Branch, Departmental, and Professional School Libraries as well as to the central Library.
- IV. Regular clerical help should be made available to each librarian, so that s/he can spend more time on professional duties and activities.
- V. Programs for improving library operations at Branch, Departmental, and Professional School Libraries should be developed in conjunction with such plans for the Wilbur Cross Library. The application of automated operations at these libraries should be studied (e.g., OCLC) and appropriate action taken.

- VI. The committee/meeting structure of the Wilbur Cross Library should be expanded to a University Library System to include the Branch, Departmental and Professional School librarians. One of the semi-annual Branch Librarians meetings should be held in Storrs and be open to all interested Library staff. In addition, Branch, Departmental, and Professional School librarians should be included in the committee/meeting structure of the faculty with which they are associated.
- VII. The top Library Administration should make every effort to clarify that librarians outside the Wilbur Cross Library have the same status and regulations (e.g., work week, vacations, holidays) as those of librarians working at the Wilbur Cross Library and should take steps to see that any existing inequities are corrected.
- VIII. In addition to clarification of actual lines of responsibility, procedures for acquiring library supplies and equipment for these libraries should be clarified. More efficient planning for the major equipment needs of these libraries is needed. The Wilbur Cross Library should prepare a list of supplies available through its office, and the Administrative Assistant for General Services should prepare a statement clarifying what other supplies and equipment can be made available and how they are to be obtained.
- IX. The top Library administration should undertake in conjunction with administrators and librarians of the Branches, Departments, and Professional Schools short- and long-range planning for libraries with space shortages.
- X. The Library Administration should work in conjunction with the University Administration and any individual teaching departments involved to clarify policies regarding Library support of Reading Rooms and unofficial departmental libraries.

APPENDIX

Areas outlined in the questionnaire for which clearly delineated lines of administrative authority and responsibility should be developed in writing:

- I. Overall budget ,reparation
 - A. Initial phase
 - B. Final phase
- II. Budget allocation or actual provision for
 - A. Personnel (salaries/wages)
 - 1. Professional
 - 2. Preprofessional
 - 3. Clerical
 - 4. Student labor
 - 5. Travel, state cars, conference and workshop attendance, etc.
 - B. Commodities and equipment
 - 1. Library (office) supplies (e.g. paperclips, envelopes)
 - 2. Library equipment
 - a. Books,journals, etc.
 - b. Non-book materials
 - C. Contractual services (e.g. service to audio-visual equipment, Xerox)
 - D. Processing (binding)
- III. Hiring of personnel
 - A. Professional
 - B. Preprofessional
 - C. Clerical
 - D. Student labor
- IV. Determination of library objectives and goals
- V. Library policies
 - A. Major overall policies
 - 1. Formulation
 - 2. Implementation
 - 3. Review
 - B. Operating policies
 - 1. Personnel
 - a. Work week and accountability; vacation, holidays, personal leave
 - b. Control and direction of professional staff
 - c. Staff development (including library or subject oriented programs and courses, professional activities, such as attendance and participation in meetings, clearance of research proposals)

2. Selection and acquisitions

- a. Overall plans for collection development
- b. Books
- c. Serials
- d. Non-book materials (Phonodiscs, slides, films, etc.)

VI. Building maintenance

VII. Planning (e.g., space)

VIII. Coordination and communication

IX. General administrative control

Task Force on Branch, Departmental, and Professional School Libraries April, 1974

Mary Beal

Dorothy McAdoo Bognar, Chairperson

David Kapp

Helen Petty

Sophie Safin

Rose York

CHAPTER XIII

MEETING/COMMITTEE STRUCTURE AND COMMUNICATION

The growth in size of staff, collections, and services which has marked the Library in the past several years has been accompanied by changes in policies and procedures to meet the demands necessarily imposed by such growth. These changes in policies and procedures have been accompanied by alterations in the Library's internal operations, especially concerning managerial style, which appear to lead to a breakdown of the present hierarchical form of organization.¹ Other Task Force reports have discussed many aspects of these changes and their effects on the Library; this report will encompass two broad areas central to any change in the Library: the communications process and the meeting and committee structure. The communications process, essential under any circumstances, is particularly important when major changes are being contemplated and put into effect. The meeting and committee structure, as seen by this Task Force, is the means by which change can be planned and provided for on a Library-wide basis, including a wide range of staff training, experience, and ideas. As necessary aspects of the meeting and committee structure, the policy and decision-making processes were also investigated.

In order to appreciate the essential relationships among these areas of concern, it is necessary to review closely the Library's present organization pattern in contrast with the above-mentioned changes; the Library staff's perception of the pattern of organization, their own roles and responsibilities regarding it, and their views concerning formation of policies in the Library; the lack of clear guidelines for the implementation of a new pattern of organization which is "likely to be less rigid and bureaucratic and more professional and collegial . . . more similar to that utilized in academic departments";² and the need for a communications process which operates effectively in three directions: downward, upward, and laterally.

In investigating these areas, the Task Force on Meeting/Committee Structure and Communication undertook a review of the reports of other Task Forces (particularly those on Library Policies, the Library Organization, Supervision and Leadership, and the Collection and Use of Information) to identify those areas pertaining to the communications process and the committee and meeting structure. In this regard, the Task Force met with the Task Force on Library Policies to discuss its report. In attempting to clarify the Library's existing communications process, the Administrative Assistant for Public Services was interviewed in regard to his role in intra- and extra-Library communications. A questionnaire to determine present methods of communication and their effectiveness was completed by the Library administration and the Department Heads/Supervisors. Another questionnaire to ascertain staff awareness of the role and function of existing meetings and committees was distributed to all Library staff. The Associate University

¹ See the discussion by Norman D. Stevens on "Library Administration and Organization", Handbook for Wilbur Cross Library Staff (1973), pp. 2-5. For organization chart, see appendix 7.

² Ibid., p. 3.

Librarian and the Administrative Assistants for Public Services and Technical Services were also interviewed to determine the purpose and effect of meetings and committees in policy formation and decision-making. A description of present meetings and committees and their membership is appended to this report.

"Meetings" seem to be convened on a more or less regular basis to convey information, discuss implementation of new policies, or solve problems. There are two types of meetings: departmental and cross-departmental. "Committees" apparently are formed to treat specific issues or special topics, either by solving the problem themselves or by compiling a report for others to act on. The distinctions between meetings and committees are not clear, nor are the reasons for their existence clear to staff on any level. Because of this lack of clarity, the term meetings/committees will be used throughout this report.

Although both the Library administration and the members of meetings/committees express a desire for more widespread involvement in planning and policy formation by the members of meetings/committees, little or no effort has been made to produce this result. Instead, staff on all levels expect leadership on matters affecting the Library as a whole only from the top administration, and for matters affecting individual departments/units, only from Department Heads/Supervisors.³ A reduction of the present hierarchical organization through wider participation in decision-making and policy-formation was attempted a few years ago through an invitation to interested staff to participate in meetings/committees as their "abilities, interests, and time"⁴ permitted. Although a number of staff members did take part in meetings/committees for a time, interest waned and enthusiasm died as the result of the Library administration's failure to respond to extensive reports prepared by several of these groups.⁵ While apparently still endorsing the idea of widespread involvement in meetings/committees, the administration appears not to have resolved for itself the role of meetings/committees in formation of policy on a Library-wide basis. Confusion has resulted because members of meetings/committees are not sure of the extent of their decision-making power, and Department Heads/Supervisors are not certain that they still hold their positions in the hierarchical structure. Few meetings/committees operate independently of the top administration; indeed, a member of the administration is usually present at each meeting/committee. This presence does not necessarily indicate a lack of leadership ability of the staff, but rather bestows some form of official endorsement for meetings/committees. Members of meetings/committees feel that their actions must be sanctioned or approved by the top administration, sometimes because the top administration controls budget and personnel, but also because the members do not feel independent enough to act on their own, from the Administrative Assistants downward through the Department Heads/Supervisors to the general staff.

This pattern of indecision is set by the top administration. In an attempt to encourage decision at the "lowest level possible,"⁶ the top administration may choose not to act on a departmental or inter-departmental problem in the expectation

³ Leadership within the Library is discussed in the Task Force report on "Supervision and Leadership", chap. IX.

⁴ Norman D. Stevens, Memo to Library Staff on "Working Groups 1970/1971" (July 13, 1970).

⁵ Examples of these reports are the Serials Report and the report on Personnel Administration in the Library.

⁶ The Policies Task Force treats this unwritten policy in their report, "Library Policies," chap. V, p. V-2.

that the problem will be solved on the appropriate level; because this approach is not made clear to all involved, the problem is left unattended until it arises the next time, and it may recur several times without any solution. The pattern of indecision is established. The pattern manifests itself in the failure of many staff members to accept their responsibility as members of the Library staff to be informed of and concerned with Library matters, especially through the meeting/committee structure. Due partially to the uncertainty of the value placed by the administration, by means of promotion, increments, and recognition, on service to the Library through meetings/committees, many staff members do not actively pursue any interest in the Library beyond their assigned duties. The staff has often not answered invitations by the administration to participate in meetings/committees; those general staff meetings which are held generate almost no discussion or interest among the staff. The Library Staff Association has suspended operation because of a lack of staff interest. While some meetings/committees have membership fixed by position or appointment, those which are open to any interested staff member usually include a very small group of active staff.

An agenda is drawn up for most meetings/committees, although it is not always distributed sufficiently in advance nor adhered to. Minutes of some meetings/committees are circulated to the staff and are discussed in some departments/units. Memos and news in the Innocent Bystander also report the work of meetings/committees, although not always regularly or adequately. The results are too often conveyed to the staff on an informal basis, especially by word-of-mouth. There is no accurate way to determine information on membership and operation of meetings/committees because there is no central record.

The process of communication has been treated extensively in the previous Task Force reports which identify information needs in several areas: Library goals and objectives; Library operating policies and procedures; current activities of the Library, departments/units, and staff members; and a better perspective of the image projected by the Library in the academic cultural, and professional environment in which the Library operates. A summary of those reports indicates that better communication is essential for the Library in terms of the following: understanding of the chain of command, the decision-making process, and goals and objectives; data on user needs and user recommendations; uniformity in written annual reports and in personnel data; relations with the deans and directors of schools or branches having their own libraries; and coordination with other information units on campus (e.g. NERAC and Social Science Data Center).

The responsibility for communications within the Library is shared by the Library administration and Department Heads/Supervisors. The most important informational tool is the Innocent Bystander, the weekly staff newsletter produced by the Administrative Assistant for Public Services. This newsletter often provides the only announcement of changes in policies and procedures and the only description of the organization and work of meetings/committees. The Library Office originates memos containing general administrative information of interest to the entire staff and distributes official University statements. The monthly Department Heads/Supervisors meeting serves principally as an exchange of Library information. This information is then disseminated to the staff through the minutes of the meeting and, in some departments/units, by a discussion of the minutes. The Department Heads/Supervisors feel the responsibility to transmit staff opinions to the administration and to inform the rest of the Library of changes in personnel, procedure, and policies within their individual departments/units.

The lateral flow of information presents an interesting discrepancy since most departments/units claim to notify others of departmental changes, yet many staff members complain that they learn of changes haphazardly and accidentally. One reason for the discrepancy and the widespread dissatisfaction with the communication process may be the lack of guidelines concerning what kind of information should be distributed and to whom. Another reason may be that the meeting/committee structure because it remains largely undefined, cannot serve adequately as a communication tool.

A report on the communications process of the Library should also include a description of the image the Library presents to users, as well as an assessment of the Library's means of communicating with users, the University community, and the Library profession. The Task Force decided not to undertake a survey of user opinion in this regard because of time and calendar restrictions.

Communications outside the Library are in the province of both the Library administration and the individual departments/units. Most formal means, such as the Faculty and Staff Newsletter, user handbooks, brochures and posters for general and special events, and items in the campus and local newspapers, are handled by the Administrative Assistant for Public Services. This concern with communication, however, is not a defined nor official aspect of his job; instead, it has evolved because of his personal interest in the field. He also initiated and continues to service the "bitch tickets" which function as the only tangible Library device for user feedback. The administration maintains relations with the Library Advisory Committee through the University Librarian, who also represents the Library in the University Senate, the Provost's Council, etc. Communications with other divisions of the University are carried out by the administration, especially by the Associate University Librarian and the Administrative Assistant for General Services.

Individual departments/units have developed a variety of mechanisms for external communication which pertain especially to their particular departmental functions: orientation tours, seminars, new book shelf, book marks, standing order lists, etc., but the amount and variety of contact with users tends to vary with the department/unit involved. Departments/units with any public contact do encourage personal communication with Library users.

CONCLUSION

Because of their very nature, the meeting/committee structure and the communication process are inextricably intertwined. The meeting/committee structure depends on open channels of communication for its very existence. An effective communications process promotes staff awareness and understanding of their own roles and responsibilities in relation to the Library's goals and objectives. Such understanding should lead to higher productivity, better teamwork, and a sense of individual and collective identity, which encourages a desire on the part of the staff to exercise a voice in the direction of the Library. Staff participation can be effectively achieved through the meeting/committee structure.

Perhaps a large part of the failure to employ meetings/committees effectively as agents for planning and policy formation rests in the nature of the present

state of "crisis management"⁷ and the consequent lack of clear guidelines for any new organizational pattern. This forces an adherence to, or desire for, the old hierarchical system and results in confusion of staff on all levels as to their roles within the organization of the Library. The widespread involvement of staff in the Task Forces formed as part of MRAP underscores the effective employment of a structured system of meetings and committees.

RECOMMENDATIONS:

The Task Force recommends that:

- I. The top administration present to the entire staff a clear exposition of its managerial philosophy and its perception of the present organizational structure and the changes to be effected in that structure.
- II. The top administration establish guidelines for the implementation of changes in the present organizational structure and for the introduction of any new pattern of organization.
- III. The administration periodically review for itself and for the entire staff the policy formation and decision-making processes in the Library, including the role and responsibilities of the Administrative Assistants in this regard.
- IV. The roles and responsibilities of the Administrative Assistants be examined, clearly defined, and put into effect.
- V. The administration clarify for itself and for the entire staff the role and function of meetings and committees in the present organizational structure and the future pattern of organization.
- VI. The administration determine for itself and for the entire staff the value placed on service to the Library through participation in the meeting and committee structure.
- VII. An appropriate forum be established for the planning of Library goals and formation of Library policy.
- VIII. Clear guidelines be delineated for the communications process both within the Library and outside the Library with assignment of that process to a specific position such as the Administrative Assistant for Public Services.
- IX. A central clearinghouse be established for all information issued by the Library.
- X. The membership and record of operation of all meetings and committees be maintained in a central location accessible to all staff.

⁷ Ibid., p. V-3

- XI. A survey of the users' image of the Library be obtained on a regular basis and the results of that survey be incorporated into the daily operation of the Library.

Meeting/Committee Structure and Communication
Task Force

January 1974

Richard Akeroyd

Doris Brown, Chairperson

Tove Rosado

Judy Saverine

Mary Thatcher

MEETINGS/COMMITTEES

Department Heads-Supervisors Meeting

To convey information and discuss general problems; meets monthly.

- * Associate University Librarian (Chairperson)
- * Administrative Assistant for Technical Services
- * Administrative Assistant for General Services
- * Administrative Assistant for Public Services
- * Collection Development Officer
- * Director of Special Collections
- * Head of Acquisitions
- * Head of Government Publications
- * Head of Music Library
- * Head of Pharmacy Library
- * Head of Reference
- * Head of Serials
- * Assistant Head of Serials
- * Coordinator of Cataloging
- * Supervisor of Circulation
- * Supervisor of Photoduplication-Microtext
- * Supervisor of Reserve Room
- * Processing Supervisor
- * Supervisor of Services for the Blind and Handicapped

Technical Services Meetings

To convey information and discuss problems relating primarily to Technical Services; meets monthly.

- * Associate University Librarian
- * Administrative Assistant for Technical Services (Chairperson)
- * Administrative Assistant for Public Services
- * Administrative Assistant for General Services
- * Head of Acquisitions
- * Head of Serials
- * Assistant Head of Serials
- * Coordinator of Cataloging
- * Processing Supervisor
- * Supervisor of Technical Processing Unit

Public Services Meeting

To convey information and discuss problems relating primarily to Public Services; meets monthly.

- * Associate University Librarian
- * Administrative Assistant for Public Services (Chairperson)

-
- * Indicates membership because of position.

- * Administrative Assistant for Technical Services
- * Head of Government Documents
- * Head of Reference
- * Director of Special Collections
- * Supervisor of Circulation
- * Supervisor of Photoduplication-Microtext
- * Supervisor of Reserve Room

Branch Librarians Meeting

To convey information and discuss problems relating to libraries of branches and schools; meets semi-annually.

- * Director of University Libraries
- * Associate University Librarian (Chairperson)
- * Administrative Assistant for General Services
- * Administrative Assistant for Public Services
- * Administrative Assistant for Technical Services
- * Branch Librarians, Law Librarian, Social Work Librarian and School of Business Administration Librarian
- Staff from branch libraries, Law Library, Social Work Library and School of Business Administration Library as need and interest dictate
- Department Heads/Supervisors from Wilbur Cross Library as need and interest dictate

OCLC Steering Committee

To plan and coordinate use of the OCLC system by departments/units involved, management of Technical Processing Unit; meets when necessary, usually semi-monthly.

- * Administrative Assistant for Technical Services (Chairperson)
- Professional representative from Acquisitions
- Professional representative from Cataloging
- Professional representative from Serials
- * Supervisor of Technical Processing Unit

Subscription Committee

To review or consider for purchase serial publications; meets monthly.

- * Collection Development Officer
- * Head of Acquisitions
- * Head of Reference
- * Head of Serials (Chairperson)

Microtext Committee

To discuss problems relating to bibliographic access and organization of micro-form materials; meets when necessary, irregularly.

Assistant Head of Serials

- | | |
|--|------------------------|
| Head of Acquisitions | |
| Staff member from Acquisitions | Open to all interested |
| Staff member from Cataloging | staff |
| Staff member from Government Documents | |
| * Supervisor of Photoduplication-Microtext | |
| Staff member from Reference | |
| Staff member from Serials | |

Computer Serials Print-Out

To discuss and plan computer print-out for serials; meets when necessary, irregularly

- * Associate University Librarian
- * Administrative Assistant for Technical Services
- * Head of Serials
- * Assistant Head of Serials

Publications Committee

To plan for publication of material produced by the Library staff; meets when necessary.

- | | |
|--|------------------------|
| Associate University Librarian | |
| Administrative Assistant for Public Services (Chairperson) | |
| Curator of Olson Archives | |
| Head of Acquisitions | Open to all interested |
| Head of Reference | staff |
| Director of Special Collections | |
| Representative from Government Documents | |
| Staff member from Special Collections | |

Poetry Committee

To plan and organize poetry readings in the Library for University community; meets when necessary, irregularly.

- | | |
|---|------------------------|
| Curator of Olson Archives | Open to all interested |
| Head of Reference | staff |
| Staff member from Special Collections (Chairperson) | |
| Supervisor of Photoduplication-Microtext | |

Festival Committee

To plan and organize cultural events in Library for University community; meets when necessary, irregularly.

- | | |
|--|------------------------|
| Administrative Assistant for Public Services (Chairperson) | |
| Curator of Olson Archives | Open to all interested |
| Head of Reference | staff |
| Staff member from Special Collections | |
| Supervisor of Photoduplication-Microtext | |

Manuscripts Committee

To determine policy for use of manuscripts and to authorize use and publication of Library manuscripts; meets irregularly.

- * Curator of Olson Archives
- Head of Acquisitions
- * Director of Special Collections

Student Advisory Committee

To explore and resolve personnel problems associated with student assistants; meets when necessary.

- Assistant Head of Serials
- Processing Supervisor
- * Representative from Library Office
- * Student Assistant in Circulation
- Supervisor of Reserve Room

APPENDIX I

EMPLOYEES AND STUDENT ENROLLMENT

APPENDIX I

TABLE ONE

Full Time Employees 1972-1973

	<u>University</u>	<u>Health Center</u>
Faculty	2,273	191
Staff	<u>2,045</u>	<u>1,180</u>
Total	<u>4,318</u>	<u>1,371</u>
Grand Total	<u>5,689</u>	

TABLE TWO

Student Enrollment, October 15, 1973

Undergraduate

Storrs

School of Agriculture	131
College of Agriculture and Natural Resources	636
School of Business Administration	1,300
School of Education	910
School of Engineering	709
School of Fine Arts	643
School of Home Economics	538
College of Liberal Arts and Sciences	6,126
School of Nursing	565
School of Pharmacy	488
School of Allied Health Professions	417
Unclassified	106
Total	12,569

Branches

Hartford	976
Southeastern	436
Stamford	559
Torrington	218
Waterbury	653
Total	2,842

Other

Other	41
Total Undergraduates	15,452

Graduate and Professional Students

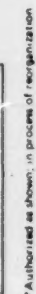
Storrs	3,237
Branches	12
Off-Campus and Non-Credit Extension	2,507
School of Business Administration	638
School of Social Work	482
School of Insurance	608
School of Law	673
School of Medicine	192
School of Dental Medicine	92
Total	8,441

APPENDIX II

ORGANIZATION CHARTS

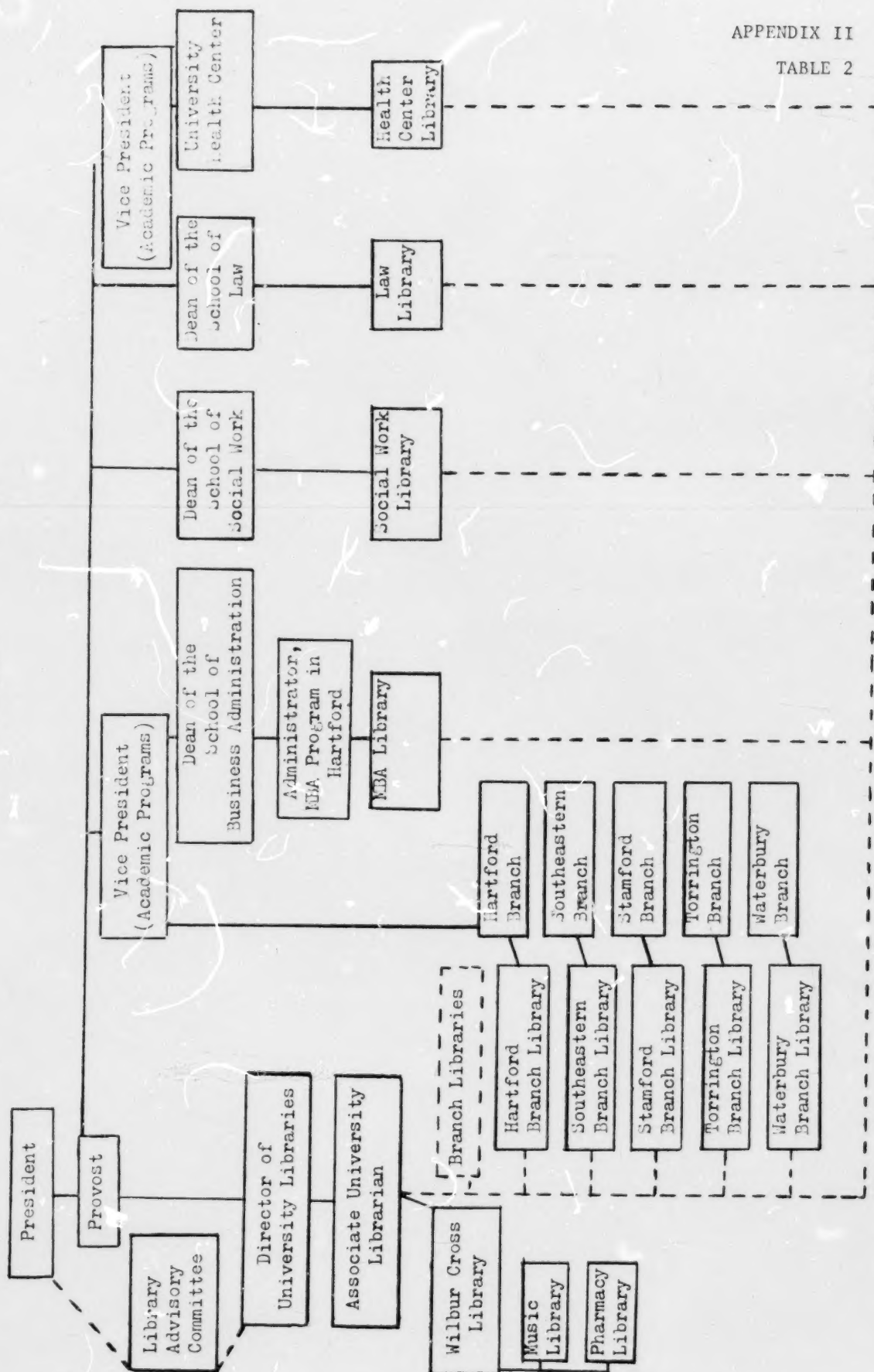
TABLE ONE

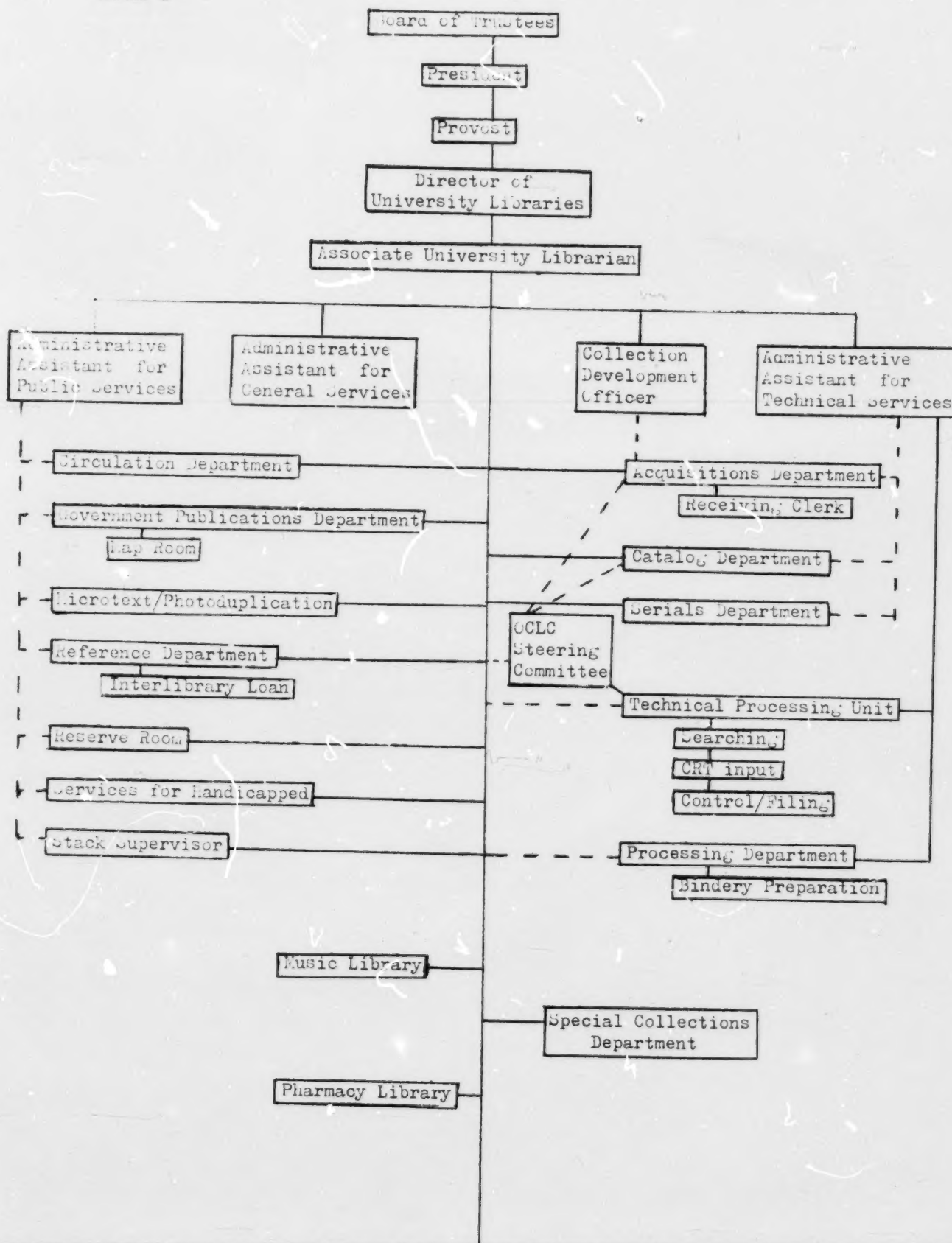
1

⁹ Authorized; in process of reorganization.

UNIVERSITY OF CONNECTICUT LIBRARIES

APPENDIX II APP - 6
TABLE 2





APPENDIX III

UNIVERSITY FINANCES

University Finances 1972-1973
(Excluding Health Center)

I. Sources of Support

Income		Expenditures
53.8%	State Appropriation	57.9%
25.1%	Auxiliary Services Fund	21.1%
9.0%	Special Grants and Gifts	9.3%
5.5%	Federal Funds	5.5%
3.9%	Educational Extension Funds	3.8%
<u>2.7%</u>	Endowment, Scholarship, and Loan Funds	<u>2.4%</u>
100.0%		100.0%

II. Expenditures

Educational and General		
Instruction and Departmental Research		\$ 25,680,647
Organized Activities Relating to Educational Departments		2,423,192
Libraries		2,348,166
General Expenses		7,361,903
Sponsored Research		9,771,006
Extension and Public Service		5,722,924
Operation and Maintenance of Physical Plant		7,266,449
General Administration		<u>1,813,496</u>
Total Educational and General		62,387,783
Student Aid		5,556,937
Auxiliary Services		9,883,905
Construction and Land		<u>166,838</u>
Total		\$ 77,995,463

Storrs -- \$70,959,046
Branches and -- 7,036,417
Professional Schools

III. Revenues

Educational and General	
Student Fees	\$ 6,606,741
Government Appropriations	44,484,066
Endowment Income	141,501
Sponsored Research	5,862,712
Other Separately Budgeted Research	535,755
Other Sponsored Programs	<u>5,286,688</u>
Total Educational and General	62,917,463
Student Aid	3,030,523
Auxiliary Services	<u>14,553,102</u>
Total	\$80,501,088

Storrs -- \$72,745,961
 Branches and -- 7,755,127
 Professional Schools

IV. Expenditures

Instructional and Departmental Research	30.6%
Auxiliary Enterprises	12.3%
Organized Research	11.3%
General Expense	8.5%
Operation and Maintenance of Physical Plant	8.6%
Student Aid	7.0%
Extension and Public Service	7.0%
Capital Outlay	7.0%
Organized Activities Relating to Educational Departments	2.8%
Libraries	2.7%
General Administration	2.2%

APPENDIX IV

WILBUR CROSS LIBRARY

DEPARTMENTAL OBJECTIVES AND GOALS

UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY
CIRCULATION DESK

BASIC OBJECTIVES

- 1) To facilitate the flow and control of materials in and out of the library, providing accurate location information for the public and assisting them in obtaining a variety of materials in whatever reasonable way possible. (related to library objectives #1, #2)
- 2) To continually provide better general and information services, including instruction in use and interpretation of the public catalog and linedex, information regarding library services, policies, etc., assistance in use of the collection, plus other general, informational, instructional, and referral services. (related to library objective #3)
- 3) To allow for easier use of the collection by the public, providing efficient methods of charging out books, recalling materials, obtaining lost books, and the like. (related to library objective #3)
- 4) To provide, in general, consistent, equal and courteous service to our general public. (related to library objective #3)
- 5) A possible future objective would be to become even more information-oriented, providing a limited and basic reference information service to better serve the public, better utilize the circulation staff, and free reference staff for more in-depth reference service. (related to library objective #4)
- 6) To relate performance goals to overall library goals so staff at all levels may see their role in the overall structure. (related to library objectives #4, #5)
- 7) To continually explore new areas of service, trying to provide for the needs of the public and library, ongoing and new. (related to library objectives #1, #3, #4, #7)
- 8) To provide for the library and its departments various types of tools relating to the circulation and use of library materials.

December 1973

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Short Term Goals			Measurement Criteria For Evaluating Results (Standards)		Date of Evaluation		Evaluation
Department Objectives	Goal	Target Date for Review	Means	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	
1, 2, 3, 4, 7	to weekly facilitate the location of material missing from the shelves and records upon patron request, finishing a search in two months, searching each one as frequently as possible, at least one to two times per week, etc.	on a semester basis	searches every week and reorders of these materials	use computer statistics to determine how many remaining at the end of 2 months that were originally placed.	2 months	monthly	
	to daily notify patrons of material coming due and overdue to obtain their return billing for those materials 5 weeks overdue, reordering those 9 weeks overdue	on a semester basis	daily mailing of reminder overdue, and bill notices	use computer statistics to determine what percentage of books taken out are overdue noting trends and patterns.			
1, 2, 3, 4, 7	to daily locate material on order for patron use, notifying patron in 2-3 days as to status; keeping track of success in location of materials.	on a semester basis	submit "Temp Request" - search in internal temp file for location; notify patron.	keep statistics on how many are submitted and how many are actually located.	semester	semester	
	to provide for the majority of fine and bill collection to be done by Business Office of University each month	on a semester basis	submit all unpaid fines and bills to them monthly if \$1.00-records cleared daily and accumulated to end of month.				
3, 4	to quickly and easily charge out a book within a 5 second period.	on a semester basis	automated system book card in each book; ID badge for each patron	try to gain statistics from the computer as the average charge out. Do some charging each month to test.	semester		
1, 2, 3, 4, 7							

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Short Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standard)	Date of Evaluation	Evaluation
2, 7	to issue library cards within 7 days of application to other than University people who express a genuine academic research need.	monthly	applications and machine readable cards	follow the progress of an application to determine the length of time it spends in process	at the beginning of each semester	
2, 4, 7	to issue extended loan within 7 days of application to University students who express a genuine long-term need for specific research materials. (note: faculty will automatically have this privilege upon request)	monthly	applications; machine readable library cards	same as above	same as above	
1, 2, 3, 4, 7	to recall materials daily for use by another patron, making phone calls if necessary to obtain books to ensure the fast return of material, within one week of first notice sent (maximum), processing any number submitted daily.	end of semester	notices sent at five day intervals; phone calls made as needed; eventually will reorder if not returned.	determine from computer statistics what percent of all recalls are returned by recall due date also, how many phone calls need to be made on these. How many recalls are picked up.	end of semester	
1, 2, 3, 7, 8	to attempt to continuously identify and replace missing, lost, and mutilated material; being able to process lists of these categories within two weeks of receipt	monthly	using bi-weekly print-outs of missing and billed material (long overdue and 2 mo. old searches) periodically reorder books; work with head shelver to pull damaged material from stacks; separate material upon book return; work with process	determine if lists can be fully processed within this two week period or if many are held over for a period of time		

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Department Objectives	Goal	Target Date for Review	Circulation Desk - Short Term Goals		Date of Evaluation	Evaluation
			Means	Measurement Criteria For Evaluating Results (Standards)		
1,4	to identify problem borrowers and situations bringing the difficulties to the patron's attention using a personal approach wherever possible, trying to determine by history file if this approach improves borrowers' cooperation; trying to determine if this approach is overly offensive to persons concerned	daily	computer will automatically flag the names of the following: 1) borrowers with overdue requests (2nd notice stage) 2) borrowers with overdue books (at one wk. prior to billing) 3) borrower whose ID has been stolen (done at request of patron) 4) patrons leaving the University, etc. others	attempt to statistically demonstrate if this deters people from abusing library privileges-attempt to show if there are time lags and problems in keeping files up to date by tracking a new employee's records to see how long it takes for him/her to be put into the records		
	to provide binding, book repair and other library dept. with print outs for daily, weekly and monthly basis	on a semester basis	computer will produce print outs in order by: 1) call # 2) date charged then call #	discuss with each department the usefulness of these printouts getting suggestions for the following semester	end of each semester	
1,2,3,4,7	to facilitate renewal of needed material on a daily basis and semester basis for EB's	on a semester basis	will be renewed by charge out slips, physical books, or in the case of EBs, inventory lists	determine from computer statistics the number of renewals processed and compute how this compares with the number of books kept overdue		
	to attempt to keep more accurate location records of all materials off the shelves, even books on hold.		computer will keep track of all material out, plus on hold under desk and discharged on the day in question.	over the period of a week note if materials wanted show up now as on hold or discharged today.	a busy week near end of semester	
1,4	to attempt to deter late return of materials by changing overdue fines at the rate of \$.10/day	on a semester basis	sending reminder and overdue notices reminding patron of book status; send fine and bill notification	from statistics, kept by the computer, determine if there is a decline in late returns over the	end of August 1974	

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Department Objectives	Goal	Target Date for Review	Means	Circulation Desk - Long Term Goals	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluation
1,2,3,4,5,7,8	to provide a thorough and ample staff orientation, pointing out in a clear detailed way circulation policies and procedures, general library policies, departmental functions, catalog and linedex information.	Fall 1972 -Spring 1973 (continuous)	provide circulation handbook and manual, information notebook at front desk, library handbook, staff manual, tours, seminars on information desk, etc. Close work with circulation supervisor.	understanding of new staff of functions of this and other departments determined through interview.		Spring 1973	
4,7	to equalize all borrowers' privileges giving all patrons the same rights, privileges and regulations-hopefully satisfying the needs of more borrowers.	periodic accomplished Sept. 1973	changing of borrowing policies	borrowing patterns using statistics compiled by computer.		Spring 1973	
2,7	to play a greater informational role in the library, providing general policy and location information, referral to appropriate departments instruction in use of and interpretation of the public catalog and linedex; assisting patrons in location of difficult to find material.	continuous end of each semester	seminars with staff of reference, cataloging, and serials in use of these tools; seminars with department heads as to goals, functions, and purposes of their departments, reading of available circulation and library information (handbooks, etc.); designated information desk manned by staff; flexibility to physically show people where material is, how to use public catalog, etc.	keep track of questions that can't be answered. Feedback from reference as to success		December 1973	
1,3,7	to integrate the shelving of books into the circulation procedure.	Summer 1974	reassign classified staff member in charge of this (and student shelvers) to circulation department				

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluation
1,2,3,4,5	to periodically evaluate the performance of the circulation department and its staff	prior to recommendation for raises and promotions.	discussion of staff regarding department functions, performance, policy, success-discuss with each staff member their areas of strength and weakness prior to formal evaluation - formal staff evaluation using standard form and interview - solicit evaluation of supervisor from staff.	determine if the goals and objectives of the department (and library) are being met, determine if needs of the individual are being satisfied.		
2,7	to play a role in directing people to locations and departments on campus	Spring 1974	to be determined (seminars, tours, maps, etc.)	keep track of questions that can't be answered. Other statistics manually kept.		
1,2	to automate journal records in the same way as LC's and Dewey's	Sept. 1974	create distinction and identification number for each journal; punch cards for each volume.	see if each journal can be identified uniquely and therefore, placed in computer records.		
3,4	to encourage patron use of ID badge to contribute to efficiency of and use of the automated charge out system.	continuous	provide for manual charge outs, if necessary, but show the greater efficiency of automated charge outs; keep track of number of manual charge outs and bring excessive nos. to patron's attention.	use statistics to see if over a period of time there are drops in the number of manual charge outs.		
8,7	to identify collection needs	each semester	statistic reports			
1,2,5,8,7	to identify borrowing patterns other statistical reports	each semester	statistic reports			

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Department Objectives	Goal	Target Date for Review	Circulation Desk - Long Term Goals		Date of Evaluation	Evaluation
			Means	Measurement Criteria For Evaluating Results (Standards)		
1,7	to maintain a current quickly circulating collection of paperbacks for the purpose of supplementing our main collection with short lived materials, light reading, etc.	yearly	assign staff members to buy, catalog, and periodically weed and update this collection.	using statistics available to s/e frequency of use, areas of need, etc.		
1,2,7	to maintain a new acquisitions shelf in the lobby to bring to the attention of the public our newest material.	Sept. 1973 & yearly	assign staff members to be sure material is weekly replaced with the next week's new acquisitions.	attempt to observe use and interest by public.		
2,7	to provide in the library a typing area for public use (typewriters being made available)	Sept. 1973	request administrative assistant for general service to locate space; donate the three typewriters now used by public at circulation.	attempt to observe the frequency of use, degree of vandalism.	Dec. 1973	
1,2,3,4,7	to facilitate renewal of needed material	semester	renewal lists printed by computer (mail)	note number of renewal lists returned; see if this curtails lateness.		
1,2,4,7	to continually keep track of the location of material charged out on an extended basis to patrons	semester /yr.	to request response to renewal lists, and physical return and renewal of extended loan material once each year.	note if fewer materials are actually lost by patrons; keep track of whether or not this procedure is burdensome to patrons or a good means for them to keep track of material.		
1,2,3,4,5,7,8	to periodically review our policies, procedures and services to be sure they fit the needs of the	yearly	using statistical reports staff discussions, public and library surveys.			

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Long Term Goals				Measurement Criteria For Evaluating Results (Standards)		Date of Evaluation	Evaluation
Department Objectives	Goal	Target Date for Review	Means	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluation
1,2,3,5,7,8	to attempt to provide new services as the need and opportunity arise.	continually	same as the above.				
1,2,7,8	to provide periodic inventory lists for various library departments permanent loan departments, etc. so as to check on book location.	semester (yearly ?)	computer print outs.		see if this aids us in keeping better location records on material; check to see if fewer books are in fact, lost on these long term loans.		
7,8	to provide Reserve with several print outs per semester for internal use.	semester	computer print out.				
1,3,4,7	attempt to get material back spring semester before departure of many patrons.	April 1974	computer notice to all patrons in the middle of April.		see if there is an excessive number of overdues at the end of the semester.		
1,2,3,7	to allow the charge out of uncataloged material obtaining its return as soon as possible (maximum charge out period is six months) so it can be properly cataloged and listed in public catalog.	every six	computer will recall these materials for cataloging.				
1,4,7,8	to keep a history of the borrowing practices of extended borrowers and public borrowers which will aid us in determining further borrowing privileges.	semester	computer will give history of each person in these categories.				

THE UNIVERSITY OF CONNECTICUT
 WILBUR CROSS LIBRARY

Department Objectives	Goal	Target Date for Review	Circulation Desk - Long Term Goals		Date of Evaluation	Evaluation
			Means	Measurement Criteria For Evaluating Results (Standards)		

1,4,7	to attempt to deter all late return of materials by restricting borrowing privileges when materials are overdue rather than fining.		computer could automatically flag patrons name with "do not charge" when had material out overdue a certain period of time; would take off restriction when material was returned.	from statistics would determine if this method was more successful than fining method.		
	to conduct general library tours.	Sept. 1974	adequate training from reference staff using library maps, handbooks, etc., and knowledge gained from seminars.			